



ISTI

Breath Alcohol *Testing* Guidelines

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1.0 Introduction

These Guidelines expand upon the World Anti-Doping Agency's (*WADA's*) *International Standard for Testing and Investigations* (ISTI) and detail the recommended process for Breath Alcohol Testing for *Doping Control* purposes.

Recommendations provided relate to on-site preparation, *Sample* collection and post-test processing and administration.

The processes outlined in this document promote good practice moving forward and assist *Anti-Doping Organizations (ADOs)* in the development of systems and protocols to support intelligent, effective *Testing* programs.

The method of *Testing* may vary slightly from these recommendations in some circumstances; however, mandatory ISTI provisions apply to ensure that the integrity of the *Testing* is maintained.

1.1 Scope

The Guidelines cover the Breath Alcohol Testing process, from roles and responsibilities; planning and preparation; *Athlete* notification and chaperoning; the Screening Test, Confirmation Test and post-test administration; to transfer of the appropriate documentation to the courier or Testing Authority.

1.2 References

1.2.1 Defined Terms

The Guidelines include defined terms from the World Anti-Doping Code (*Code*) and these *International Standards (IS)*: ISTI and International Standard for Laboratories (ISL). *Code* terms are written in italics. Terms from the *IS* are underlined.

These definitions are listed in Guidelines Section 6.0.

1.2.2 Documentation

The following are considered as main references for the Breath Alcohol Testing Guidelines, all of which are available on WADA's Web site:

- 2015 World Anti-Doping Code
- International Standard for Testing and Investigations
- WADA's Guidelines for Implementing an Effective *Testing* Program

Related support documentation is provided in Annex A: Recruitment, Training, Accreditation, and Re-Accreditation of Breath Alcohol Technicians (BATs).

2.0 Roles and Responsibilities

2.1 Testing Authority / Sample Collection Authority

ADOs contracting other ADOs or third parties to act as Sample Collection Authorities are considered *Testing Authorities*.

The Sample Collection Authority is responsible for the overall conduct of the Breath Alcohol Testing Session. Main activities are listed below, some of which may be performed by the Testing Authority or delegated to the Doping Control Officer (DCO).

Unique to the Testing Authority role is instituting ISTI Annex A – Investigating a Possible Failure to Comply.

Preparation:

- Determine the necessary competence and qualification requirements of Sample Collection Personnel, establish an accreditation / re-accreditation system, and develop duty statements that outline their respective responsibilities.
- Appoint and authorize Sample Collection Personnel, ensuring personnel have been trained for their assigned responsibilities, have no conflict of interest in the outcome of the *Sample* collection and are not *Minors*.
- Maintain records of education, training, skills, and experience of all Sample Collection Personnel.
- Delegate specific responsibilities to the Doping Control Officer (DCO).
- Provide official documentation to Sample Collection Personnel validating their authority to collect a *Sample* from the *Athlete*, e.g. an authorization letter from the Testing Authority.
- Obtain the necessary information to ensure the effective conduct of the Sample Collection Session, including identifying if the *Athlete* has special requirements (ISTI Annex B - Modifications for *Athletes* with Impairments and Annex C - Modifications for *Athletes* who are *Minors*).

Athlete notification:

- Establish a system for locating the selected *Athlete*, planning the approach and timing of notification, and recording in detail *Athlete* notification attempt(s) and outcome(s).
- Establish criteria to validate the notified *Athlete's* identity.

- Determine if a third party is required for notification prior to notification of the *Athlete* when the *Athlete* is a *Minor* or where required by an *Athlete's* impairment (ISTI Annex B and C), or in situations where an interpreter is required.

Sample collection:

- Establish criteria for the authorization of who may be present during the Breath Alcohol Testing Session in addition to Sample Collection Personnel.
- Develop a system to ensure that documentation is completed for each Breath Alcohol Testing and is securely handled.

Post-test administration:

- Authorize a transport system that ensures Testing documentation is transported in a manner that protects their integrity, identity and security.
- Develop a system for recording Chain of Custody of the Breath Alcohol Testing documentation, including confirmation that the Testing documentation has arrived at its intended destination.
- Store documentation related to a Breath Alcohol Testing Session and or an anti-doping rule violation in accordance with the International Standard for the Protection of Privacy and Personal Information (ISPPPI).

2.2 **Doping Control Officer**

One lead/senior Doping Control Officer (DCO) oversees the Breath Alcohol Testing session. If professionally qualified, the DCO may also perform the duties of a BAT. This Guidelines document allows for both scenarios.

On-site preparation:

- Organize equipment, including all relevant documentation.
- Organize and brief Sample Collection Personnel prior to or upon arrival at the Doping Control Station, including Athlete notification, chaperoning, breath Testing process and urine and/or blood Sample collection (if applicable).
- Ensure that Chaperones are trained in carrying out relevant activities.
- Assess and organize the Testing facilities.

Athlete notification:

- Arrange or perform notification and escorting of Athletes.
- Liaise with sport representatives, if relevant.
- Ensure that the Athlete's rights and responsibilities are explained.
- Explain, or arrange explanation of, the process for Breath Alcohol Testing to Athletes and Athlete Representatives, as necessary.

Testing session:

- Undertake and/or oversee the Breath Alcohol Testing process.
- Coordinate collection of accompanying urine Sample and/or blood Sample if relevant.
- Report a Failure to Comply.

Post-test administration:

- Oversee the post-Testing process.
- Complete, or arrange completion of, and verify, the relevant documentation.
- Verify the Chain of Custody.
- Organize courier services, if necessary.

2.3 Breath Alcohol Technician

The Breath Alcohol Technician (BAT) possesses the following qualifications:

- a. Certification from a trained BAT or a BAT-certifying organization;
- b. Experience in Breath Alcohol Testing; and
- c. Authorization from the Sample Collection Authority to conduct Breath Alcohol Testing.

Testing process:

- Explain the procedure to *Athletes* prior to *Testing* or offer to provide an explanation.
- Answer relevant questions from *Athletes* about the procedure.
- Prepare the *Athlete* and conduct the Breath Alcohol Testing.

See Annex A for detailed requirements for BAT recruitment, training, accreditation, and re-accreditation.

2.4 Chaperone

A Chaperone may be assigned additional duties for blood and/or urine *Sample* collection. The duties listed below relate to Breath Alcohol Testing only.

On-site preparation:

- Receive training from the DCO. Chaperones with no experience are to be trained by the DCO on site.
- Training will include the requirements for notification, chaperoning and witnessing *Sample* provision (if applicable), and confidentiality obligations.

Athlete notification:

- Notify the *Athlete* in person as instructed by the DCO.
- Escort the *Athlete* from notification until arrival at the Doping Control Station

2.5 Sample Collection Personnel

Sample collection:

- Conduct or assist with the Sample Collection Session.
- These individuals must:
 - Be trained and authorized for their assigned responsibilities;
 - Not have any conflict of interest in the outcome of the *Sample* collection; and
 - Not be a *Minor*.

2.6 *Athlete*

Athlete notification:

- Request the presence of an Athlete Representative, if desired.
- Be escorted from notification to *Sample* provision.

Testing session:

- Report for *Doping Control* as soon as possible, and within the specified time frame, unless there are valid reasons for a delay, as per ISTI Article 5.4.4 (a) and (b).
- Provide valid ID.
- Remain within direct observation of the DCO/Chaperone at all times from the point of initial contact with the DCO/Chaperone to completion of the Breath Alcohol Testing procedure.
- Once notified, should not consume any food or beverage prior to *breath Testing*.
- Be familiar and comply with the Breath Alcohol Testing process.
- Observe the procedure and ensure there are no irregularities (e.g. insufficient choice or inadequate equipment).
- Comment on the Breath Alcohol Testing process in the area(s) provided on the *Doping Control* documentation, if applicable; ask questions as needed.
- Sign documentation as requested by the DCO.

2.7 Athlete Representative

The presence of an Athlete Representative is optional, but strongly recommended for *Athletes* who are *Minors* or where required by an *Athlete's* impairment (ISTI Annex B - Modifications for *Athletes* with Impairments and Annex C - Modifications for *Athletes* who are *Minors*).

Athlete notification:

- Accompany the *Athlete* during notification.
- Accompany the *Athlete* to the *Testing* facility.

Testing session:

- Assist in the selection of equipment, if requested by the *Athlete*.
- Assist the *Athlete* in the completion of documentation, if requested by the *Athlete*.
- Be familiar and comply with the *Testing* process.
- Observe the *Testing* process and ensure there are no irregularities.
- Sign documentation as requested by the DCO.

3.0 Preparation for the Breath Alcohol Testing Session

The protocol for the Breath Alcohol Testing Session is divided into the following areas.

3.1 Required Equipment and Supplies

The DCO ensures the required equipment and supplies are in place for the *Testing* session.

There may be slight variations in equipment. As a general rule, the following are to be made available:

- a. At least 2 approved Evidentiary Breath Alcohol Devices.
- b. Preferably, a portable printer to display and provide a printout of the Evidentiary Breath Alcohol Device findings.
- c. Individually sealed Breath Alcohol Mouthpieces.

- d. Calibration device and/or calibration protocol or evidence about the *Testing* devices.
- e. Scissors, pens and other applicable stationary.
- f. All *Doping Control* documentation.*

* Includes *Doping Control* forms, *Athlete* notification forms (if not part of the *Doping Control* form), supplementary report forms, Chain of Custody forms, DCO report forms, etc.

3.2 Sufficient Quantities

Sufficient quantities of Breath Alcohol Testing Equipment should be made available to ensure:

- An *Athlete* selected for *Testing* has a choice of at least three Evidentiary Breath Alcohol Devices at all times.
- The amount of *Doping Control* documentation supplied is based upon the number of tests being conducted.

Insufficient choice will not invalidate the legitimacy of the collection process, however it is recommended that both the *Athlete* and DCO or Athlete Representative (as assigned by the DCO) attest in writing to the adequacy of the equipment used.

3.3 System Criteria

Breath Alcohol Testing Equipment systems are to

Ensure that all equipment is clean and intact prior to use by the *Athlete*.

3.4 Sample Collection Personnel Briefing

The DCO briefs the Sample Collection Personnel on their roles and responsibilities prior to or upon arrival at the Doping Control Station.

This includes *Athlete* notification, chaperoning, breath *Testing*, and related urine and blood *Sample* collection, if applicable. (See ISTI Article 7 and WADA's Sample Collection Personnel: Recruitment, Training, Accreditation, and Re-Accreditation Guidelines.)

Sample Collection Personnel appointed to conduct or assist with the Breath Alcohol Testing Session must meet the qualifications listed in Guidelines Section 2.5.

During the briefing, the DCO presents official documentation (e.g. an authorization letter from the Testing Authority) to Sample Collection Personnel that details the DCO's authority to test the *Athlete*.

3.5 Facilities

Privacy, sole use and cleanliness are required for a facility to be used as a Doping Control Station.

If the facility does not offer the *Athlete* privacy, and/or is intended to be used for purposes other than *Doping Control* while Breath Alcohol Testing is being carried out, the DCO locates an alternative location.

The DCO documents any significant variations from these criteria. *ADOs* can request that a sketch of the Doping Control Station be included in the DCO's report.

3.5.1 Criteria

In addition to meeting privacy, sole use and cleanliness requirements, the Breath Alcohol Testing facilities are to:

- a. Maintain *Athlete* confidentiality.
- b. Be well lit and well ventilated.
- c. Provide managed entry with access restricted to authorized personnel.
- d. Be lockable and provide secure storage for Breath Alcohol Testing Equipment.
- e. Include a work station with a table and chairs.
- f. Be sized according to the number of *Athletes*, *Athlete Representatives* and *Sample Collection Personnel* who will occupy the area.
- g. Be suitably located in relation to the field of *play* or other location where the *Athletes* will be notified.

Transportation

Should the Doping Control Station be some distance from the sporting venue where the *Athletes* compete/finish, the DCO is to arrange with the *Event* organizer appropriate transportation for *Athletes*, *Athlete Representatives* and *Sample Collection Personnel* – both to the Doping Control Station and either back to the venue or other agreed location/s upon completion of the Breath Alcohol Testing process.

3.5.2 Access Restrictions

The DCO can assign *Sample Collection Personnel* to monitor access to the Testing facility to ensure admission of authorized *persons* only, or request the *Event* organizer to assign personnel.

Testing facility access is restricted to the *Athlete*, the *Athlete Representative*, an interpreter (if required), and Sample Collection Personnel, unless otherwise approved by the DCO.

Additional personnel requesting access may include an International Federation (IF) representative, an ADO observer, a Testing Authority or Sample Collection Authority observer, an auditor, or a WADA observer, where applicable under the Agency's *Independent Observer Program* (ISTI 6.3.3 (d)). These personnel are required to present the DCO with adequate identification and accreditation upon arrival at the Doping Control Station.

Members of the media are not allowed entry to the Doping Control Station at any time.

4.0 Athlete Notification

The DCO/Chaperone performs the following sequence of actions:

1. Establish the location of the selected *Athlete*, and plan the approach and timing of notification, taking into account any specific circumstances of the sport/*Competition*/training session/etc., and the situation, as per No Advance Notice Testing.

The DCO takes into consideration all logistical factors, (e.g. venue-specific, sport-specific, etc.) when planning the appropriate timing and approach for *Athlete* notification. Among the factors to consider:

- Challenges faced in sports with mass finishes.
 - The presence of a mixed zone at the venue.
 - Using Technical Delegates of the *Competition* to assist in identifying/confirming final positions.
 - Sports where it is common that *Athletes* are *Minors* and/or have an impairment that may require a third party present during notification.
2. The DCO communicates relevant factors to all Sample Collection Personnel in advance.
 3. The DCO/Chaperone identifies himself/herself and shows the *Athlete* the official authorization documentation provided by the Testing Authority or Sample Collection Authority that granted the authority to test.

Additional photo ID is carried by the DCO that includes name, photograph, and the documents' expiry date, i.e. ID card from the Sample Collection Authority, driver's license, passport, or similar valid ID.

Chaperones are not required to provide name or photo ID, but are to produce official authorization documentation provided by the Testing Authority or Sample Collection Authority (e.g. authorization letter).

4. The DCO/Chaperone ensures that the *Athlete* is the first *Person* notified that he/she has been selected for Breath Alcohol Testing.

Exceptions:

- The *Athlete* is a *Minor*, has a impairment and/or an interpreter is needed, and the Testing Authority or Sample Collection Authority/DCO/Chaperone considers it a requirement to notify a third party prior to the notification of the *Athlete*.
- The DCO/Chaperone requires assistance from a third party (e.g. sport representative) in locating, identifying and/or notifying the *Athlete(s)* selected for *Testing*, due to the DCO/Chaperone being unfamiliar with the *Athlete* or the venue at which the Breath Alcohol Testing Session is taking place (e.g. *In-Competition Testing* or *Testing* at training camps).

In either scenario, the DCO/Chaperone provides the initial notification directly to the *Athlete* and, where applicable, through an interpreter.

5. The DCO/Chaperone verbally confirms the *Athlete's* identity as per the criteria set by the Testing Authority or Sample Collection Authority and records the form of ID in the *Doping Control* documentation (ISTI Article 5.3.4).

Formal identification:

Formal identification can be established by photo ID, starting number, accreditation, third party Witness, or other viable method as established by the Testing Authority and Sample Collection Authority.

If the *Athlete's* identity is unknown and cannot be confirmed, the DCO decides if it is appropriate to follow up in accordance with ISTI Annex A – Investigating a Possible Failure to Comply. DCOs with a cell phone can take a photograph of the *Athlete* and forward the photo with their report.

An *Athlete's* ability to provide photo ID shall not invalidate a test.

6. The DCO/Chaperone shows the *Athlete* the notification form (which may be part of the *Doping Control* form), and then notifies the *Athlete* of the following:

The *Athlete* has been selected for *Testing* and is required to undergo Breath Alcohol Testing.

- a. The authority conducting the *Testing*. (The Testing Authority is the ADO that initiated and authorized the Breath Alcohol Testing Session.)
- b. The type of *Sample* collection (which may also refer to breath alcohol although no actual *Sample* is collected) and any mandatory conditions prior to Breath Alcohol Testing, including the requirement for the *Athlete* to provide their *Sample* in direct observation of a DCO/Chaperone as applicable.
- c. The requirement to undergo *Testing* without delay.
- d. The DCO shall use their discretion if an *Athlete* cannot undergo a test without delay. The DCO shall inform the *Athlete* of the possible *Consequences of Anti-Doping Rule Violations (Consequences)* for failing to submit to Breath Alcohol Testing.
- e. The *Athlete's* rights, including the right to:
 - Have an Athlete Representative present throughout the *Testing* process and, if required and available, an interpreter.
 - Ask questions and request additional information about the *Testing* process.
 - Request a delay in reporting to the Doping Control Station for valid reasons as described in ISTI Article 5.4.4 (a) and (b).
 - Request modifications to the *Sample* collection procedure if the *Athlete* is a *Minor* and/or has an impairment (ISTI Annex B - Modifications for *Athletes* with Impairments or Annex C - Modifications for *Athletes* who are *Minors*).
- f. The *Athlete's* responsibilities (Guidelines Section 2.6), including the requirement to:
 - Remain within direct observation of the DCO/Chaperone at all times from the point initial contact is made by the DCO/Chaperone until the completion of the Breath Alcohol Testing process.
 - Produce appropriate and valid ID.

- Be familiar and comply with the Breath Alcohol Testing procedures. (The *Athlete* should be advised of the possible *Consequences of Failure to Comply*).
 - Report for *Doping Control* immediately, unless there are valid reasons for a delay, as per ISTI Article 5.4.4 (a) and (b).
- g. The location of the Doping Control Station.
- h. The DCO/Chaperone provides the *Athlete* notification form to read and sign.
- i. If an *Athlete* copy of the official notification record exists, the DCO/Chaperone provides it to the *Athlete*.

5.0 Breath Alcohol Testing Session Protocol

5.1 Arrival at the Doping Control Station

The *Athlete* arrives at Doping Control Station with a DCO/Chaperone and, if requested, an Athlete Representative. At this time, the *Athlete* should present a photo ID to the DCO or BAT. An *Athlete's* inability to provide a photo ID shall not invalidate a test.

The *Athlete* should be advised not to eat, drink or put anything (e.g. chewing gum) into his/her mouth.

The *Athlete* must submit to Breath Alcohol Testing immediately upon arrival at the Doping Control Station and shall be chaperoned at all times until the testing is complete.

Before *Testing*, the BAT shall ask the *Athlete* whether he/she has been tested before, and if an explanation of the *Testing* procedure is required. If the *Athlete* has not been tested before, or requests an explanation of the procedure, the BAT shall explain the Breath Alcohol Testing procedure to the *Athlete*.

At a minimum, the DCO shall ensure the *Athlete* is informed of his/her rights and responsibilities as defined in Guidelines Sections 2.6 and 4.0.

5.2 Breath Alcohol Mouthpiece Selection

The *Athlete* must be given a choice of at least 3 individually sealed Breath Alcohol Mouthpieces, from which he/she will be asked to choose one.

The *Athlete* and BAT shall check that the equipment is clean and intact. If either the *Athlete* or BAT is not satisfied with the equipment, the *Athlete* shall make another selection.

If the *Athlete* is not satisfied with any of the equipment, and the BAT does not agree with the *Athlete's* opinion that all of the available equipment is unsatisfactory, the BAT shall instruct the *Athlete* to proceed with the Breath Alcohol Testing session. The *Athlete's* views must be recorded by the BAT on the *Doping Control* form and/or supplementary report form, if applicable.

If both the BAT and the *Athlete* agree that none of the equipment is satisfactory, the BAT shall terminate the testing and record the reasons for termination.

Once a Mouthpiece has been selected, the BAT shall instruct the *Athlete* to insert it into the Evidentiary Breath Testing Device.

5.3 Screening Test

For the Screening Test, the BAT shall instruct the *Athlete* to blow steadily and forcefully into the Breath Alcohol Mouthpiece until the Evidentiary Breath Testing Device indicates that an adequate amount of breath has been obtained.

The BAT shall show the *Athlete* the test result displayed. A printout of the reading shall then be made that indicates the test number, *Testing* device name and serial number, time, and result. The BAT and *Athlete* must ensure that the information is printed correctly.

If it is not possible to make a printout, the DCO shall record the result displayed on the screen on the *Doping Control* form, including the *Testing* device brand, type and serial number; date of the last calibration (or calibration expiration date); and the time. All are confirmed by the *Athlete*, Athlete Representative (if present), and the DCO and/or BAT.

If the Evidentiary Breath Testing Device reading is below the threshold, as specified in *WADA's Prohibited List*, the *Athlete* is asked to complete the *Doping Control* form and provided with a copy of the documentation. No further action will be taken.

If a reading is not obtained, the *Athlete* shall continue the process until a reading is displayed on the device. If the *Athlete* is unable to provide an adequate breath, the *Testing* shall be treated as a refusal.

5.4 Confirmation Test

If the Screening Test reading is greater than the Alcohol Concentration threshold, the BAT shall inform the *Athlete* and the Athlete Representative (if present) that a

Confirmation Test will be done following a 10-minute¹ waiting period that begins once the Screening Test is completed. The BAT should begin the Confirmation Test as soon as possible following this waiting period, and no longer than 30 minutes after the completion of the Screening Test.

In the presence of the *Athlete*, the BAT performs an Air Blank test on the Evidentiary Breath Alcohol Device before beginning the Confirmation Test, and shows the reading to the *Athlete*. An alternate Evidentiary Breath Alcohol Device should be used if the DCO/BAT has more than one available.

If the Air Blank reading is 0.00, the Confirmation Test can proceed. If the Air Blank reading is greater than 0.00, the BAT must conduct another Air Blank test.

If the second Air Blank reading is 0.00, the Confirmation Test can proceed. If the reading of Air Blank test is greater than 0.00, the BAT must remove the Evidentiary Breath Alcohol Device from service. If another Evidentiary Breath Alcohol Device is available, the BAT shall proceed with a new test. If another Evidentiary Breath Alcohol Device is not available, the Confirmation Test is terminated. The reason for terminating the Confirmation Test shall be recorded in the *Doping Control* form and no further action will be taken.

The *Athlete* must be given a choice of at least 3 individually sealed Breath Alcohol Mouthpieces. He/she will be asked to choose one device and, if required, follow the steps outlined above until a suitable Mouthpiece has been chosen.

For the Confirmation Test, the BAT shall instruct the *Athlete* to blow steadily and forcefully into the Mouthpiece for at least 6 seconds, or until the Evidentiary Breath Alcohol Device indicates that an adequate amount of breath has been obtained. If a reading is not obtained, the *Athlete* shall continue the process until a reading is displayed on the device.

The BAT shall show the *Athlete* the displayed test result of the Confirmation Test.

A print out shall be made of the Confirmation Test indicating the test number, testing device name and serial number, time and result. The BAT and *Athlete* must ensure that the information has been printed correctly.

If it is not possible to make a printout, the DCO shall record the result displayed on the screen on the *Doping Control* form, including the *Testing* device brand, type and serial number; date of the last calibration (or calibration expiration date); and the time. All are confirmed by the *Athlete*, Athlete Representative (if present), and the DCO and/or BAT. If the reading is below the threshold, the *Athlete* is asked to

¹ A 10-minute waiting period is suggested to ensure any residual alcohol in one's mouth is no longer present. Residual alcohol could be a result of mouth wash or other food. Such a waiting period will limit false positives.

complete the *Doping Control* form and is provided with a copy of the documentation and no further action will be taken.

Should the Confirmation Test reading be greater than the threshold, the BAT shall inform the *Athlete* and Athlete Representative (if present) of the result, ask them to complete the *Doping Control* form, and provide them a copy of the documentation.

The BAT then performs a reference Confirmation Test on the Evidentiary Breath Alcohol Device in accordance with the manufacturer's instructions. The *Athlete* is provided a copy of the reference Confirmation Test and all documentation will be forwarded to the relevant Testing Authority.

5.5 Completing the *Doping Control* Form

The DCO instructs the BAT to sign the *Doping Control* form to confirm that he/she conducted a Breath Alcohol Testing on the *Athlete* in accordance with ISTI mandatory procedures.

The DCO checks all information on the form with the *Athlete* and the Athlete's Representative to confirm that it accurately reflects the details of the Breath Alcohol Testing, and fills in any incomplete areas in view of the *Athlete*.

The *Athlete* is given the opportunity to complete the comments section of the form if he/she has any concerns or comments regarding how the Breath Alcohol Testing was conducted. If there is insufficient space on the form, the *Athlete* is provided a supplementary report form.

If present, the Athlete's Representative signs the *Doping Control* form.

The *Athlete* and DCO then sign the *Doping Control* form.

The *Athlete* should always be the last person to sign the *Doping Control* form.

The DCO provides the *Athlete* with a full copy of the *Doping Control* form, the supplementary report form (if used) and any other documentation signed by the *Athlete*.

Unless also required to provide a urine or blood *Sample*, the *Athlete* can leave the Doping Control Station.

If an *Athlete* is also required to provide a urine and/or blood *Sample*, and the *Doping Control* form records both urine and/or blood collection, the paperwork will not be fully completed until after collection of urine and/or blood *Samples*.

A comprehensive list of the information to be recorded on the form at a minimum is provided in ISTI Article 7.4.5.

The DCO shall arrange for the secure transport of the *Testing* documentation to the Testing Authority as soon as possible following completion of the Breath Alcohol Testing.

6.0 Definitions

6.1 2015 Code Defined Terms

ADAMS: The Anti-Doping Administration and Management System is a Web-based database management tool for data entry, storage, sharing, and reporting designed to assist stakeholders and WADA in their anti-doping operations in conjunction with data protection legislation.

Anti-Doping Organization: A *Signatory* that is responsible for adopting rules for initiating, implementing or enforcing any part of the *Doping Control* process. This includes, for example, the International Olympic Committee, the International Paralympic Committee, other *Major Event Organizations* that conduct *Testing* at their *Events*, WADA, International Federations, and *National Anti-Doping Organizations*.

Athlete: Any *Person* who competes in sport at the international level (as defined by each International Federation) or the national level (as defined by each *National Anti-Doping Organization*). An *Anti-Doping Organization* has discretion to apply anti-doping rules to an *Athlete* who is neither an *International-Level Athlete* nor a *National-Level Athlete*, and thus to bring them within the definition of "Athlete." In relation to *Athletes* who are neither *International-Level* nor *National-Level Athletes*, an *Anti-Doping Organization* may elect to: conduct limited *Testing* or no *Testing* at all; analyze *Samples* for less than the full menu of *Prohibited Substances*; require limited or no whereabouts information; or not require advance *TUEs*. However, if an Article 2.1, 2.3 or 2.5 anti-doping rule violation is committed by any *Athlete* over whom an *Anti-Doping Organization* has authority who competes below the international or national level, then the *Consequences* set forth in the *Code* (except Article 14.3.2) must be applied. For purposes of Article 2.8 and Article 2.9 and for purposes of anti-doping information and education, any *Person* who participates in sport under the authority of any *Signatory*, government, or other sports organization accepting the *Code* is an *Athlete*.

[Comment to Athlete: This definition makes it clear that all International- and National-Level Athletes are subject to the anti-doping rules of the Code, with the precise definitions of international- and national-level sport to be set forth in the anti-doping rules of the International Federations and National Anti-Doping Organizations, respectively. The definition also allows each National Anti-Doping Organization, if it chooses to do so, to expand its anti-doping program beyond International- or National-Level Athletes to competitors at lower levels of Competition or to individuals who engage in fitness activities but do not compete at all. Thus, a National Anti-Doping Organization could, for example, elect to test

recreational-level competitors but not require advance TUEs. But an anti-doping rule violation involving an Adverse Analytical Finding or Tampering, results in all of the Consequences provided for in the Code (with the exception of Article 14.3.2). The decision on whether Consequences apply to recreational-level Athletes who engage in fitness activities but never compete is left to the National Anti-Doping Organization. In the same manner, a Major Event Organization holding an Event only for masters-level competitors could elect to test the competitors but not analyze Samples for the full menu of Prohibited Substances. Competitors at all levels of Competition should receive the benefit of anti-doping information and education.]

Code: The World Anti-Doping Code.

Competition: A single race, match, game or singular sport contest. For example, a basketball game or the finals of the Olympic 100-meter race in athletics. For stage races and other sport contests where prizes are awarded on a daily or other interim basis the distinction between a *Competition* and an *Event* will be as provided in the rules of the applicable International Federation.

Consequences of Anti-Doping Rule Violations (Consequences, Consequences of ADVRs): An *Athlete's* or other *Person's* violation of an anti-doping rule may result in one or more of the following: (a) Disqualification means the *Athlete's* results in a particular *Competition* or *Event* are invalidated, with all resulting *Consequences* including forfeiture of any medals, points and prizes; (b) Ineligibility means the *Athlete* or other *Person* is barred on account of an anti-doping rule violation for a specified period of time from participating in any *Competition* or other activity or funding as provided in Article 10.12.1; (c) Provisional Suspension means the *Athlete* or other *Person* is barred temporarily from participating in any *Competition* or activity prior to the final decision at a hearing conducted under Article 8; (d) Financial Consequences means a financial sanction imposed for an anti-doping rule violation or to recover costs associated with an anti-doping rule violation; and (e) Public Disclosure or Public Reporting means the dissemination or distribution of information to the general public or *Persons* beyond those *Persons* entitled to earlier notification in accordance with Article 14. Teams in *Team Sports* may also be subject to *Consequences* as provided in Article 11.

Doping Control: All steps and processes from test distribution planning through to ultimate disposition of any appeal including all steps and processes in between such as provision of whereabouts information, *Sample* collection and handling, laboratory analysis, *TUEs*, results management and hearings.

Event: A series of individual *Competitions* conducted together under one ruling body (e.g., the Olympic Games, FINA World Championships, or Pan American Games).

In-Competition: Unless provided otherwise in the rules of an International Federation or the ruling body of the *Event* in question, “*In-Competition*” means the period commencing twelve hours before a *Competition* in which the *Athlete* is scheduled to participate through the end of such *Competition* and the *Sample* collection process related to such *Competition*.

[Comment: An International Federation or ruling body for an Event may establish an "In-Competition" period that is different than the Event Period.]

International Standard : A standard adopted by WADA in support of the *Code*. Compliance with an *International Standard* (as opposed to another alternative standard, practice or procedure) shall be sufficient to conclude that the procedures addressed by the *International Standard* were performed properly. *International Standards* shall include any Technical Documents issued pursuant to the *International Standard*.

Minor: A natural *Person* who has not reached the age of eighteen years.

Out-of-Competition: Any period which is not *In-Competition*.

Prohibited List: The List identifying the *Prohibited Substances* and *Prohibited Methods*.

Sample or Specimen: Any biological material collected for the purposes of *Doping Control*.

[Comment: It has sometimes been claimed that the collection of blood Samples violates the tenets of certain religious or cultural groups. It has been determined that there is no basis for any such claim.]

Testing: The parts of the *Doping Control* process involving test distribution planning, *Sample* collection, *Sample* handling, and *Sample* transport to the laboratory.

WADA: The World Anti-Doping Agency.

6.2 ISTI Defined Terms

Chain of Custody: The sequence of individuals or organizations who have responsibility for the custody of a *Sample* from the provision of the *Sample* until the *Sample* has been delivered to the Laboratory for analysis.

Chaperone: An official who is trained and authorized by the Sample Collection Authority to carry out specific duties including one or more of the following (at the election of the Sample Collection Authority): notification of the *Athlete* selected for *Sample* collection; accompanying and observing the *Athlete* until arrival at the Doping Control Station; accompanying and/or observing *Athletes* who are present in the Doping Control Station; and/or witnessing and verifying the provision of the *Sample* where the training qualifies him/her to do so.

Doping Control Officer (or DCO): An official who has been trained and authorized by the Sample Collection Authority to carry out the responsibilities given to DCOs in the International Standard for Testing and Investigations.

Doping Control Station: The location where the Sample Collection Session will be conducted.

Failure to Comply: A term used to describe anti-doping rule violations under *Code* Articles 2.3 and/or 2.5.

No Advance Notice Testing: *Sample* collection that takes place with no advance warning to the *Athlete* and where the *Athlete* is continuously chaperoned from the moment of notification through *Sample* provision.

Results Management Authority (RMA): The organization that is responsible, in accordance with *Code* Article 7.1, for the management of the results of *Testing* (or other evidence of a potential anti-doping rule violation) and hearings, whether (1) an *Anti-Doping Organization* (for example, the International Olympic Committee or other *Major Event Organization*, WADA, an International Federation, or a *National Anti-Doping Organization*); or (2) another organization acting pursuant to the authority of and in accordance with the rules of the *Anti-Doping Organization* (for example, a National Federation that is a member of an International Federation). In respect of Whereabouts Failures, the Results Management Authority shall be as set out in Article I.5.1.

Sample Collection Authority: The organization that is responsible for the collection of *Samples* in compliance with the requirements of the International Standard for Testing and Investigations, whether (1) the Testing Authority itself; or (2) another organization (for example, a third party contractor) to whom the

Testing Authority has delegated or sub-contracted such responsibility (provided that the Testing Authority always remains ultimately responsible under the *Code* for compliance with the requirements of the International Standard for Testing and Investigations relating to collection of *Samples*).

Sample Collection Equipment: Containers or apparatus used to collect or hold the *Sample* at any time during the Sample Collection Session. Sample Collection Equipment shall, as a minimum, consist of:

- For urine *Sample* collection:
 - Collection vessels for collecting the *Sample* as it leaves the *Athlete's* body;
 - Suitable kit for storing partial *Samples* securely until the *Athlete* is able to provide more urine; and
 - Sealable and tamper-evident bottles and lids for storing and transporting the complete *Sample* securely.
- For blood *Sample* collection:
 - Needles for collecting the *Sample*;
 - Blood tubes with sealable and tamper-evident devices for storing and transporting the *Sample* securely.

Sample Collection Personnel: A collective term for qualified officials authorized by the Sample Collection Authority to carry out or assist with duties during the Sample Collection Session.

Sample Collection Session: All of the sequential activities that directly involve the *Athlete* from the point that initial contact is made until the *Athlete* leaves the Doping Control Station after having provided his/her *Sample(s)*.

Testing Authority: The organization that has authorized a particular *Sample* collection, whether (1) an *Anti-Doping Organization* (for example, the International Olympic Committee or other *Major Event Organization*, WADA, an International Federation, or a *National Anti-Doping Organization*); or (2) another organization conducting *Testing* pursuant to the authority of and in accordance with the rules of the *Anti-Doping Organization* (for example, a National Federation that is a member of an International Federation).

Whereabouts Filing: Information provided by or on behalf of an *Athlete* in a *Registered Testing Pool* that sets out the *Athlete's* whereabouts during the following quarter, in accordance with Article I.3 of the International Standard for Testing and Investigations.

Witness: The member of Sample Collection Personnel who observes the passing of the Sample by the Athlete in accordance with the procedures for observation.

6.3 **Breath Alcohol Testing Guidelines Defined Terms**

Air Blank: A reading of 0.00 on an Evidentiary Breath Testing Device of ambient air containing no alcohol.

Alcohol Concentration: The alcohol in a volume of breath expressed in terms of grams of alcohol per 210 liters of breath.

Breath Alcohol Testing: A testing process that is carried out through volume of breath into an Evidentiary Breath Alcohol Device to obtain a quantitative measurement of Alcohol Concentration.

Breath Alcohol Mouthpiece (Mouthpiece): A plastic disposable tube that is inserted to an Evidentiary Breath Alcohol Device.

Breath Alcohol Technician (BAT): An official who is certified to and has been authorized by the Sample Collection Authority to conduct Breath Alcohol Testing from an Athlete.

Confirmation Test: A subsequent test using an Evidentiary Breath Alcohol Device, following a Screening Test with a result above a specified threshold level, that provides quantitative data about the Alcohol Concentration.

Evidentiary Breath Alcohol Device: A device that has the ability to provide a quantitative measurement of Alcohol Concentration.

Screening Test: An initial test using an Evidentiary Breath Alcohol Device that provides quantitative data about the Alcohol Concentration.

Annex A - Requirements for Recruitment, Training, Accreditation, and Re-Accreditation of Breath Alcohol Technicians (BATs)

1. Recruitment of BATs

- 1.1 Sample Collection Authority should recruit BATs who possess, at a minimum, the following attributes:
- a. Certification for Breath Alcohol Testing from a trained BAT or a BAT certifying organization.
 - b. Experience in Breath Alcohol Testing.
 - c. Ability to answer relevant questions from *Athletes* about the procedure.
 - d. Ability to follow procedures and protocols.
 - e. Ability to maintain confidential information.
 - f. Ability to demonstrate respectful and professional behavior.
 - g. Freedom from conflict of interest with *Athletes* and/or sport in which *Testing* will be conducted (ISTI Annex H 4.2).
 - h. Awareness of, and comfort with, the responsibilities of a BAT.
 - i. Willingness to be subject to a security check.

2. Training of BATs

- 2.1 The Sample Collection Authority shall ensure that a BAT possesses the relevant training and qualifications in the area of Breath Alcohol Testing.
- 2.2 The Sample Collection Authority shall ensure that a BAT receives theory training, at a minimum, in the following areas:
- a. Guideline for Breath Alcohol Testing.
 - b. National Policy/Legislation requirements.
 - c. Specific sport and *Athlete* requirements.
 - d. Roles and responsibilities of DCOs and Chaperones.
 - e. Use of Breath Alcohol Testing Equipment.

- 2.3 The Sample Collection Authority shall develop training resources outlining the most relevant sections of the theory component for easy reference and review by BATs.
- 2.4 The Sample Collection Authority shall ensure that a BAT receives practical training involving the observation of at least one simulated Breath Alcohol Testing session.

3. Accreditation of BATs

- 3.1 To be accredited by a Sample Collection Authority as a BAT, the individual shall demonstrate knowledge of the theory and practical training requirements.
- 3.2 Prior to accreditation, the individual shall also agree to the following conditions:
 - a. Completion of a Code of Conduct Agreement.
 - b. Completion of a Declaration of Confidentiality.
 - c. Completion of a Declaration of Conflict of Interest.
 - d. Completion of any further relevant documents as required by the Sample Collection Authority.
- 3.3 A BAT shall be accredited by the Sample Collection Authority for a minimum of the length of the Breath Alcohol Testing session or *Event*.
- 3.4 A BAT shall carry evidence of his/her accreditation in the form of photo ID or Testing Authority authorization letter.

4. Re-Accreditation of BATs

- 4.1 BATs who have not been accredited by the Sample Collection Authority within the last 3 months shall be required to review the theory component of training.
- 4.2 If the BAT has not been accredited within the last 6 months, all requirements for accreditation shall apply.