



The World Anti-Doping Code

INTERNATIONAL STANDARD FOR TESTING

Version 3.0

October 2007

PREAMBLE

World Anti-Doping Code *International Standard for Testing* is a mandatory *International Standard* (Level 2) developed as part of the World Anti-Doping Program.

The *International Standard for Testing* is extracted from the ISO International Standard for Doping Control (ISO ISDC) which was prepared by an expert group within the International Anti-Doping Arrangement (IADA) and WADA.

Version 1.0 of the *International Standard for Testing* was circulated to *Signatories* and governments for review and comments in November 2002. Version 2.0 was based on the comments and proposals received from *Signatories* and governments. All *Signatories* and governments were consulted and had the opportunity to review and provide comments on version 2.0. Version 3.0 was approved by the WADA Executive Committee on June 7th 2003. A similar revision process has taken place for the 2007 Standard which also coincides with the format and release of the new *Code*, a new Version 1.0 and 2.0 (2007) of this standard therefore have been drafted and circulated to all stakeholders, and this final version for approval is presented to the WADA Executive Committee in November 2007 as Version 3.0.

The official text of the *International Standard for Testing* shall be maintained by WADA and shall be published in English and French. In the event of any conflict between the English and French versions, the English version shall prevail.

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PART ONE: INTRODUCTION, *CODE* PROVISIONS AND DEFINITIONS

1.0 Introduction and scope

The main purpose of the *International Standard for Testing* is to plan for effective *Testing* and to maintain the integrity and identity of the *Samples*, from notifying the *Athlete* to transporting *Samples* for analysis.

The *International Standard for Testing* includes standards for test distribution planning, notification of *Athletes*, preparing for and conducting *Sample* collection, security/post test administration and transport of *Samples*.

In addition, Section 11.0 of the *International Standard for Testing* sets out mandatory standards to be adopted by International Federations and *National Anti-Doping Organizations* (and recognised and applied by other *Anti-Doping Organizations*) as the whereabouts requirements applicable to *Athletes* in their respective *Registered Testing Pools*, failure to comply with which shall constitute an anti-doping rule violation under Article 2.4 of the *Code*.

The *International Standard for Testing*, including all annexes, is mandatory for all *Signatories* to the World Anti-Doping Code (*Code*).

The World Anti-Doping Program encompasses all of the elements needed in order to ensure optimal harmonization and best practice in international and national anti-doping programs. The main elements are: the *Code* (Level 1), *International Standards* (Level 2), and Models of Best Practice (Level 3).

In the introduction to the *Code*, the purpose and implementation of the *International Standards* are summarized as follows:

“International Standards for different technical and operational areas within the anti-doping program will be developed in consultation with the Signatories and governments and approved by WADA. The purpose of the International Standards is harmonization among Anti-Doping Organizations responsible for specific technical and operational parts of the anti-doping programs. Adherence to the International Standards is mandatory for compliance with the Code. The International Standards may be revised from time to time by the WADA Executive Committee after reasonable consultation with the Signatories and governments. Unless provided otherwise in the Code, International Standards and all revisions shall become effective on the date specified in the International Standard or revision.”

Definitions specified in the *Code* are written in italics. Additional definitions specific to the *International Standard for Testing* are underlined.

2.0 Code Provisions

The following articles in the draft *Code v. 3.0* 2007 directly address the *International Standard for Testing*:

Code Article 2 Anti-Doping Rule Violations:

2.3 Refusing, or failing without compelling justification, to submit to *Sample* collection after notification as authorized in applicable anti-doping rules or otherwise evading *Sample* collection.

[Comment to Article 2.3: Failure or refusal to submit to Sample collection after notification was prohibited in almost all pre-Code anti-doping rules. This Article expands the typical pre-Code rule to include "otherwise evading Sample collection" as prohibited conduct. Thus, for example, it would be an anti-doping rule violation if it were established that an Athlete was hiding from a Doping Control official to evade notification or Testing. A violation of "refusing or failing to submit to Sample collection" may be based on either intentional or negligent conduct of the Athlete, while "evading" Sample collection contemplates intentional conduct by the Athlete.]

2.4 **Violation of applicable requirements regarding Athlete availability for Out-of-Competition Testing** including failure to file required whereabouts information and missed tests which are declared based on rules which comply with the *International Standard for Testing*. Any combination of three missed tests and/or filing failures within an eighteen-month period as determined by *Anti-Doping Organizations* with jurisdiction over the *Athlete* shall constitute an anti-doping rule violation.

[Comment to Article 2.4: Separate whereabouts filing failures and missed tests declared under the rules of the Athlete's International Federation or any other Anti-Doping Organizations with authority to declare whereabouts filing failures and missed tests in accordance with the International Standard for Testing shall be combined in applying this Article. In appropriate circumstances, missed tests or filing failures may also constitute an anti-doping rule violation under Article 2.3.]

2.5 **Tampering, or Attempted Tampering**, with any part of *Doping Control*.

[Comment to Article 2.5: This Article prohibits conduct which subverts the Doping Control process but which would not otherwise be included in the definition of Prohibited Methods. For example, altering identification numbers on a Doping Control form during Testing, breaking the B Bottle at the time of B Sample analysis or providing fraudulent information to an Anti-Doping Organization.]

2.8 **Administration or Attempted administration** to any *Athlete In-Competition* of any *Prohibited Method* or *Prohibited Substance*, or administration or *Attempted* administration to any *Athlete Out-of-Competition* of any *Prohibited Method* or any *Prohibited Substance* that is prohibited in *Out-of-Competition Testing*, or assisting, encouraging, aiding, abetting, covering up or any other type of complicity involving an anti-doping rule violation or any *Attempted* anti-doping rule violation.

[Comment to Article 2: The Code does not make it an anti-doping rule violation for an Athlete or other Person to work or associate with Athlete Support Personnel who are serving a period of Ineligibility. However, a sport organization may adopt its own rules which prohibit such conduct.]

Code Article 3 Proof of Doping:

3.2.2 Departures from any other *International Standard* or other anti-doping rule or policy which did not cause an *Adverse Analytical Finding* or other anti-doping rule violation shall not invalidate such results. If the *Athlete* or other *Person* establishes that a departure from another *International Standard* or other anti-doping rule or policy which could reasonably have caused the *Adverse Analytical Finding* occurred, then the *Anti-Doping Organization* shall have the burden to establish that such departure did not cause the *Adverse Analytical Finding* or the factual basis for the anti-doping rule violation.

Code Article 5 Testing:

5.1 Test Distribution Planning. Subject to the jurisdictional limitations for *In-Competition Testing* in Article 15.1, each *National Anti-Doping Organization* shall have *Testing* jurisdiction over all *Athletes* who are present in that *National Anti-Doping Organization's* country or who are nationals, residents, license-holders or members of sport organizations of that country. Each International Federation shall have *Testing* jurisdiction over all *Athletes* who are members of their member National Federations or who participate in their events. All *Athletes* must comply with any request for *Testing* by any *Anti-Doping Organization* with *Testing* jurisdiction. In coordination with other *Anti-Doping Organizations* conducting *Testing* on the same *Athletes*, and consistent with the *International Standard* for *Testing*, each *Anti-Doping Organization* shall:

5.1.1 Plan and conduct an effective number of *In-Competition* and *Out-of-Competition* tests on *Athletes* over whom they have jurisdiction, including but not limited to *Athletes* in their respective *Registered Testing Pools*. Each International Federation shall establish a *Registered Testing Pool* for *International-Level Athletes* in its sport, and each *National Anti-Doping Organization* shall establish a national *Registered Testing Pool* for *Athletes* from or in its country. In accordance with Article 14.3, any *Athlete* included in a *Registered Testing Pool* shall be subject to the whereabouts requirements set out in the *International Standard* for *Testing*.

5.1.2 Except in exceptional circumstances all *Out-of-Competition Testing* shall be *No Advance Notice*.

5.1.3 Make *Target Testing* a priority.

5.1.4 Conduct *Testing* on *Athletes* serving a period of *Ineligibility* or a *Provisional Suspension*.

[*Comment to Article 5.1.3: Target Testing is specified because random Testing, or even weighted random Testing, does not ensure that all of the appropriate Athletes will be tested (for example: world class Athletes, Athletes whose performances have dramatically improved over a short period of time, Athletes whose coaches have had other Athletes test positive, etc.).*]

Obviously, Target Testing must not be used for any purpose other than legitimate Doping Control. The Code makes it clear that Athletes have no right to expect that they will be tested only on a random basis. Similarly, it does not impose any reasonable suspicion or probable cause requirement for Target Testing.]

5.2 Standards for Testing *Anti-Doping Organizations* with *Testing* jurisdiction shall conduct such *Testing* in conformity with the *International Standard* for *Testing*.

5.3 Retired Athletes Returning to Competition

Each *Anti-Doping Organization* shall establish a rule addressing eligibility requirements for *Athletes* who are not *Ineligible* and retire from sport while included in a *Registered Testing Pool* and then seek to return to active participation in sport.

Code Article 7 Results Management:

7.1 Initial Review Regarding Adverse Analytical Findings Upon receipt of an *A Sample Adverse Analytical Finding*, the *Anti-Doping Organization* responsible for results management shall conduct a review to determine whether: (a) an applicable therapeutic use exemption has been granted or will be granted as provided in the *International Standard* for Therapeutic Use Exemptions, or (b) there is any apparent departure from the *International Standard* for Testing or *International Standard* for Laboratories that caused the *Adverse Analytical Finding*.

7.2 Notification After Initial Review Regarding Adverse Analytical Findings If the initial review of an *Adverse Analytical Finding* under Article 7.1 does not reveal an applicable therapeutic use exemption or entitlement to a therapeutic use exemption as provided in the *International Standard* for Therapeutic Use Exemptions, or departure that caused the *Adverse Analytical Finding*, the *Anti-Doping Organization* shall promptly notify the *Athlete*, in the manner set out in its rules, of: (a) the *Adverse Analytical Finding*; (b) the anti-doping rule violated; (c) the *Athlete's* right to promptly request the analysis of the *B Sample* or, failing such request, that the *B Sample* analysis may be deemed waived; (d) the scheduled date, time and place for the *B Sample* analysis if the *Athlete* or *Anti-Doping Organization* chooses to request an analysis of the *B Sample*; (e) the opportunity for the *Athlete* and/or the *Athlete's* representative to attend the *B Sample* opening and analysis within the time period specified in the *International Standard* for Laboratories if such analysis is requested; and (f) the *Athlete's* right to request copies of the *A* and *B Sample* laboratory documentation package which includes information as required by the *International Standard* for Laboratories. The *Anti-Doping Organization* shall also notify the other *Anti-Doping Organizations* described in Article 14.1.2. If the *Anti-Doping Organization* decides not to bring forward the *Adverse Analytical Finding* as an anti-doping rule violation, it shall so notify the *Athlete* and the *Anti-Doping Organizations* as described in Article 14.1.2.

7.3 Review of Atypical Findings

As provided in the *International Standards*, in some circumstances Laboratories are directed to report the presence of *Prohibited Substances*, which may also be produced endogenously, as *Atypical Findings* subject to further investigation. Upon receipt of an *A Sample Atypical Finding*, the *Anti-Doping Organization* responsible for results management shall conduct a review to determine whether: (a) an applicable therapeutic use exemption has been granted, or (b) there is any apparent departure from the *International Standard* for Testing or *International Standard* for Laboratories that caused the *Atypical Finding*. If that review does not reveal an applicable therapeutic use exemption or departure that caused the *Atypical Finding*, the *Anti-Doping Organization* shall conduct the required investigation. After the investigation is completed, the *Athlete* and other *Anti-Doping Organizations* identified in Article 14.1.2 shall be notified whether or not the *Atypical Finding* will be brought forward as an *Adverse Analytical Finding*. The *Athlete* shall be notified as provided in Article 7.2.

7.3.1 The *Anti-Doping Organization* will not provide notice of an *Atypical Finding* until it has completed its investigation and decided whether it will bring the *Atypical Finding* forward as an *Adverse Analytical Finding* unless one of the following circumstances exist:

(a) If the *Anti-Doping Organization* determines the *B Sample* should be analyzed prior to the conclusion of its investigation under Article 7.3, the *Anti-Doping Organization* may conduct the *B Sample* analysis after notifying the *Athlete*, with such notice to include a description of the *Atypical Finding* and the information described in Article 7.2(b)-(f).

(b) If the *Anti-Doping Organization* receives a request, either from a *Major Event Organization* shortly before one of its *International Events* or a request from a sport body responsible for meeting an imminent deadline for selecting team members for an *International Event*, to disclose whether any *Athlete* identified on a list provided by the *Major Event Organization* or sport body has a pending *Atypical Finding*, the *Anti-Doping Organization* shall so identify any such *Athlete* after first providing notice of the *Atypical Finding* to the *Athlete*.

[Comment to Article 7.3.1(b): Under the circumstance described in Article 7.3.1(b), the option to take action would be left to the Major Event Organization or sport body consistent with its rules.]

7.4 Review of Other Anti-Doping Rule Violations Not Covered by Articles 7.1–7.3

The *Anti-Doping Organization* or other reviewing body established by such organization shall conduct any follow-up investigation into a possible anti-doping rule violation as may be required under applicable anti-doping policies and rules adopted pursuant to the *Code* or which the *Anti-Doping Organization* otherwise considers appropriate. At such time as the *Anti-Doping Organization* is satisfied that an anti-doping rule violation has occurred, it shall promptly give the *Athlete* or other *Person* subject to sanction notice, in the manner set out in its rules, of the anti-doping rule which appears to have been violated, and the basis of the violation. Other *Anti-Doping Organizations* shall be notified as provided in Article 14.1.2.

7.6 Retirement from Sport

If an *Athlete* or other *Person* retires while a results management process is underway, the *Anti-Doping Organization* conducting the results management process retains jurisdiction to complete its results management process. If an *Athlete* or other *Person* retires before any results management process has begun, the *Anti-Doping Organization* which would have had results management jurisdiction over the *Athlete* or other *Person* at the time the *Athlete* or other *Person* committed an anti-doping rule violation, has jurisdiction to conduct results management.

[Comment to Article 7.6: Conduct by an Athlete or other Person before the Athlete or other Person was subject to the jurisdiction of any Anti-Doping Organization would not constitute an anti-doping rule violation but could be a legitimate basis for denying the Athlete or other Person membership in a sports organization.]

Code Article 10 Sanctions on Individuals:

10.3.3 For violations of Article 2.4 (whereabouts filing failures and/or missed tests), the period of *Ineligibility* shall be at a minimum one (1) year and at a maximum two (2) years based on the *Athlete's* degree of fault.

[Comment to Article 10.3.3: The sanction under Article 10.3.3 shall be two years where all three filing failures or missed tests are inexcusable. Otherwise, the sanction shall be assessed in the range of two years to one year, based on the circumstances of the case.]

10.11 Reinstatement Testing.

As a condition to regaining eligibility at the end of a specified period of *Ineligibility*, an *Athlete* must, during any period of *Provisional Suspension* or *Ineligibility*, make him or herself available for *Out-of-Competition Testing* by any *Anti-Doping Organization* having Testing jurisdiction, and must, if requested, provide current and accurate whereabouts information. If an *Athlete* subject to a period of *Ineligibility* retires from sport and is removed from *Out-of-Competition Testing* pools and later seeks reinstatement, the *Athlete* shall not be eligible for reinstatement until the *Athlete* has notified relevant *Anti-Doping Organizations* and has been subject to *Out-of-Competition Testing* for a period of time equal to the period of *Ineligibility* remaining as of the date the *Athlete* had retired.

Code Article 14 Confidentiality and Reporting:

14.3 Athlete Whereabouts Information

As further provided in the *International Standard for Testing*, *Athletes* who have been identified by their International Federation or *National Anti-Doping Organization* for inclusion in a *Registered Testing Pool* shall provide accurate, current location information. The International Federations and *National Anti-Doping Organizations* shall coordinate the identification of *Athletes* and the collecting of current location information and shall submit it to WADA. This information will be accessible, through ADAMS where reasonably feasible, to other *Anti-Doping Organizations* having jurisdiction to test the *Athlete* as provided in Article 15. This information shall be maintained in strict confidence at all times; shall be used exclusively for purposes of planning, coordinating or conducting *Testing*; and shall be destroyed after it is no longer relevant for these purposes.

14.5 Doping Control Information Clearinghouse

WADA shall act as a central clearinghouse for *Doping Control Testing* data and results for *International-Level Athletes* and national-level *Athletes* that have been included in their *National Anti-Doping Organization's Registered Testing Pool*. To facilitate coordinated test distribution planning and to avoid unnecessary duplication in *Testing* by the various *Anti-Doping Organizations*, each *Anti-Doping Organization* shall report all *In-Competition* and *Out-of-Competition* tests on such *Athletes* to the WADA clearinghouse as soon as possible after such tests have been conducted. This information will be made accessible to the *Athlete*, the *Athlete's* National Federation, *National Olympic Committee* or National Paralympic Committee, *National Anti-Doping Organization*, International Federation, and the International Olympic Committee or International Paralympic Committee.

To enable it to serve as a clearinghouse for *Doping Control Testing* data, WADA has developed a database management tool, ADAMS, that reflects emerging data privacy principles. In particular, WADA has developed ADAMS to be consistent with data privacy statutes and norms applicable to WADA and other organizations using ADAMS. Private information regarding an *Athlete*, *Athlete Support Personnel*, or others involved in anti-doping activities shall be maintained by WADA, which is supervised by Canadian privacy authorities, in strict confidence and in accordance with the *International Standard* for the protection of privacy. WADA shall, at least annually, publish statistical reports summarizing the information that it receives, ensuring at all times that the privacy of *Athletes* is fully respected and makes itself available for discussions with national and regional data privacy authorities.

14.6 Data Privacy

When performing obligations under the Code, *Anti-Doping Organizations* may collect, store, process or disclose personal information relating to *Athletes* and third parties. Each *Anti-Doping Organization* shall ensure that it complies with applicable data protection and privacy laws with respect to their handling of such information, as well as the *International Standard* for the protection of privacy that

WADA shall adopt to ensure *Athletes* and non-athletes are fully informed of and, where necessary, agree to the handling of their personal information in connection with anti-doping activities arising under the Code.

Code Article 15 Clarification of *Doping Control* Responsibilities:

15.1 *Event Testing*

The collection of *Samples* for *Doping Control* does and should take place at both *International Events* and *National Events*. However, except as otherwise provided below, only a single organization should be responsible for initiating and directing *Testing* during the *Event Period*. At *International Events*, the collection of *Doping Control Samples* shall be initiated and directed by the international organization which is the ruling body for the *Event* (e.g., the IOC for the Olympic Games, the International Federation for a World Championship, and PASO for the Pan American Games). At *National Events*, the collection of *Doping Control Samples* shall be initiated and directed by the designated *National Anti-Doping Organization* of that country.

15.1.1 If an *Anti-Doping Organization* which is not responsible for initiating and directing *Testing* at an *Event* nevertheless desires to conduct additional *Testing* of *Athlete(s)* at the *Event* during the *Event Period*, the *Anti-Doping Organization* shall first confer with the ruling body of the *Event* to obtain permission to conduct, and to coordinate, any additional *Testing*. If the *Anti-Doping Organization* is not satisfied with the response from the ruling body of the *Event*, the *Anti-Doping Organization* may ask WADA for permission to conduct additional *Testing* and to determine how to coordinate such additional *Testing*. WADA shall not grant approval for such additional *Testing* before consulting with and informing the ruling body for the *Event*.

[Comment to Article 15.1.1: Before giving approval to a National Anti-Doping Organization to initiate and conduct Testing at an International Event, WADA shall consult with the international organization which is the ruling body for the Event. Before giving approval to an International Federation to initiate and conduct Testing at a National Event, WADA shall consult with the National Anti-Doping Organization of the country where the Event takes place. The Anti-Doping Organization "initiating and directing testing" may, if it chooses, enter into agreements with other organizations to which it delegates responsibility for Sample collection or other aspects of the Doping Control process.]

15.2 *Out-of-Competition Testing*

Out-of-Competition Testing shall be initiated and directed by both international and national organizations. *Out-of-Competition Testing* may be initiated and directed by: (a) WADA; (b) the IOC or IPC in connection with the Olympic Games or Paralympic Games; (c) the *Athlete's* International Federation; or (d) any other *Anti-Doping Organization* that has *Testing* jurisdiction over the *Athlete* as provided in Article 5.1 (Test Distribution Planning). *Out-of-Competition Testing* shall be coordinated through ADAMS where reasonably feasible in order to maximize the effectiveness of the combined *Testing* effort and to avoid unnecessary repetitive *Testing* of individual *Athletes*.

[Comment to Article 15.2: Additional authority to conduct Testing may be authorized by means of bilateral or multilateral agreements among Signatories and governments.]

15.4.1 *Mutual Recognition.*

Subject to the right to appeal provided in Article 13, the *Testing*, therapeutic use exemptions and hearing results or other final adjudications of any *Signatory* which are consistent with World Anti-

Doping Code 2007 Version 1.0 46 the *Code* and are within that *Signatory's* authority, shall be recognized and respected by all other *Signatories*.

[Comment to Article 15.4.1: There has been some confusion in the interpretation of this Article with regard to TUEs. Unless provided otherwise by the rules of an International Federation or an agreement with an International Federation, National Anti-Doping Organizations do not have "authority" to grant TUEs or ATUEs to International-Level Athletes.]

15.4.2 *Signatories* shall recognize the same actions of other bodies which have not accepted the *Code* if the rules of those bodies are otherwise consistent with the *Code*.

[Comment to Article 15.4.2: Where the decision of a body that has not accepted the Code is in some respects Code compliant and in other respects not Code compliant, Signatories should attempt to apply the decision in harmony with the principles of the Code. For example, if in a process consistent with the Code a non-Signatory has found an Athlete to have committed an anti-doping rule violation on account of the presence of a Prohibited Substance in his body but the period of Ineligibility applied is shorter than the period provided for in the Code, then all Signatories should recognize the finding of an anti-doping rule violation and the Athlete's National Anti-Doping Organization should conduct a hearing consistent with Article 8 to determine whether the longer period of Ineligibility provided in the Code should be imposed.]

3.0 Terms and definitions

3.1 Defined terms from the draft *Code v. 3.0 2007*

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.

Adverse Analytical Finding: A report from a laboratory or other approved *Testing* entity that identifies in a *Specimen* the presence of a *Prohibited Substance* or its *Metabolites* or *Markers* (including elevated quantities of endogenous substances) or evidence of the *Use* of a *Prohibited Method*.

Anti-Doping Organization (ADO): 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 participates in sport at the international level (as defined by each International Federation), the national level (as defined by each *National Anti-Doping Organization*, including but not limited to those *Persons* in its *Registered Testing Pool*), and any other competitor in sport who is otherwise subject to the jurisdiction of any *Signatory* or other sports organization accepting

the *Code*. All provisions of the *Code*, including, for example, *Testing*, and therapeutic use exemptions must be applied to international and national-level competitors. Some *National Anti-Doping Organizations* may elect to test and apply anti-doping rules to recreational-level or masters competitors who are not current or potential national caliber competitors. *National Anti-Doping Organizations* are not required, however, to apply all aspects of the *Code* to such *Persons*. Specific national rules may be established for Doping Control for non-international-level or national-level competitors without being in conflict with the *Code*. Thus, a country could elect to test recreational-level competitors but not require therapeutic use exemptions or whereabouts information. In the same manner, a *Major Event Organization* holding an *Event* only for masters-level competitors could elect to test the competitors but not require advance therapeutic use exemptions or whereabouts information. For purposes of Article 2.8 (Administration or *Attempted Administration*) 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*.

Atypical Finding: A report from a laboratory or other WADA-approved entity which requires further investigation as provided by the *International Standard for Laboratories* or related Technical Documents prior to the determination of an *Adverse Analytical Finding*.

Code: The World Anti-Doping *Code*.

Competition: A single race, match, game or singular athletic contest. For example, a basketball game or the finals of the Olympic 100-meter dash. For stage races and other athletic 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 Rules Violations: 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 for a specified period of time from participating in any *Competition* or other activity or funding as provided in Article 10.9; and (c) Provisional Suspension means the *Athlete* or other *Person* is barred temporarily from participating in any *Competition* prior to the final decision at a hearing conducted under Article 8 (Right to a Fair Hearing).

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, therapeutic use exemptions, results management and hearings.

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

In-Competition: Unless provided otherwise in the rules of an International Federation or other relevant *Anti-Doping Organization*, "*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*.

Independent Observer Program: A team of observers, under the supervision of *WADA*, who observe and may provide guidance on the *Doping Control* process at certain *Events* and report on their observations.

Ineligibility: See *Consequences of Anti-Doping Rules Violations* above.

Individual Sport: Any sport that is not a *Team Sport*.

International Event: An *Event* where the International Olympic Committee, the International Paralympic Committee, an International Federation, a *Major Event Organization*, or another international sport organization is the ruling body for the *Event* or appoints the technical officials for the *Event*.

International-Level Athlete: *Athletes* designated by one or more International Federations as being within the *Registered Testing Pool* for an International Federation.

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 majority as established by the applicable laws of his or her country of residence.

National Anti-Doping Organization: The entity(ies) designated by each country as possessing the primary authority and responsibility to adopt and implement anti-doping rules, direct the collection of *Samples*, the management of test results, and the conduct of hearings, all at the national level. This includes an entity which may be designated by multiple countries to serve as regional *Anti-Doping Organization* for such countries. If this designation has not been made by the competent public authority(ies), the entity shall be the country's *National Olympic Committee* or its designee.

National Olympic Committee (NOC): The organization recognized by the International Olympic Committee. The term *National Olympic Committee* shall also include the National Sport Confederation in those countries where the National Sport Confederation assumes typical *National Olympic Committee* responsibilities in the anti-doping area.

No Advance Notice: A *Doping Control* which takes place with no advance warning to the *Athlete* and where the *Athlete* is continuously chaperoned from the moment of notification through *Sample* provision.

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

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

Provisional Suspension: See *Consequences* above.

Registered Testing Pool: The pool of top level *Athletes* established separately by each International Federation and *National Anti-Doping Organization* who are subject to both *In-Competition* and *Out-of-Competition Testing* as part of that International Federation's or Organization's test distribution plan. Each International Federation shall publish a list which identifies those *Athletes* included in its *Registered Testing Pool* either by name or by clearly defined, specific criteria.

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

Signatories: Those entities signing the *Code* and agreeing to comply with the *Code*, including the International Olympic Committee, International Federations, International Paralympic Committee, *National Olympic Committees*, National Paralympic Committees, *Major Event Organizations*, *National Anti-Doping Organizations*, and WADA.

Tampering: Altering for an improper purpose or in an improper way; bringing improper influence to bear; interfering improperly; obstructing, misleading or engaging in any fraudulent conduct to alter results or prevent normal procedures from occurring; or providing fraudulent information to an *Anti-Doping Organization*.

Target Testing: Selection of *Athletes* for *Testing* where specific *Athletes* or groups of *Athletes* are selected on a non-random basis for *Testing* at a specified time.

Team Sport: A sport in which the substitution of players is permitted during a *Competition*.

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.

3.2 Defined Terms from the *International Standard for Testing*

Athlete 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 clause [11.3] of the *International Standard for Testing*.

Blood Collection Officer (BCO): An official who is qualified to and has been authorized by the *ADO* to collect a blood *Sample* from an *Athlete*.

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

Chaperone: An official who is trained and authorized by the *ADO* to carry out specific duties including one or more of the following: notification of the *Athlete* selected for *Sample* collection; accompanying and observing the *Athlete* until arrival at 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 (DCO): An official who has been trained and authorised by the *ADO* with delegated responsibility for the on-site management of a *Sample* Collection Session.

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 Articles 2.3, 2.5 and 2.8 of the *Code*.

Filing Failure: A failure by the *Athlete* to make a current and accurate Athlete Whereabouts Filing in accordance with clause [11.3] of the *International Standard for Testing*.

International Federation (IF): An international non-governmental organization administering one or more sports at world level.

Missed Test: A failure by the *Athlete* to be available for *Testing* on any given day at the location and time specified in the 60-minute time-slot identified in

his/her *Athlete Whereabouts Filing* for that day, in accordance with clause [11.4] of the *International Standard for Testing*.

Missed Test Report: A detailed report of a Missed Test, as more fully described in clause [11.5.3(a)] of the *International Standard for Testing*.

National Federation: A national non-governmental organization administering one or more sports at a national level.

Random Selection: Selection of *Athletes* for *Testing* which is not *Target Testing*. *Random Selection* may be: Completely random; where no pre-determined criteria are considered, and *Athletes* are chosen arbitrarily from a list or pool of *Athlete* names; or Weighted; where *Athletes* are ranked using pre-determined criteria in order to increase or decrease the chances of selection.

Regional Anti-Doping Organization (RADO): An *ADO* established by a group of countries to coordinate, manage and deliver the mandate of doping-free sport within a specific region.

Responsible ADO: The *Anti-Doping Organization* with responsibility for a particular whereabouts matter. The provisions of clause 11.5 of the *International Standard for Testing* are to be used to determine who is the Responsible ADO in any given situation.

Sample Collection Equipment: Containers or apparatus used to directly collect or hold the *Athlete's Sample* at any time during the *Sample* collection process. *Sample* Collection Equipment shall, as a minimum, consist of:

- For urine *Sample* collection:
 - Collection vessels for collecting the urine *Sample* as it leaves the *Athlete's* body;
 - Sealable and tamper-evident bottles and lids for securing the urine *Sample*;
- For blood *Sample* collection:
 - Needles for collecting the blood *Sample*;
 - Blood tubes with sealable and tamper-evident devices for holding the blood *Sample*.

Sample Collection Personnel: A collective term for qualified officials authorised by the *ADO* who may 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 notification until the *Athlete* leaves the Doping Control Station after having provided his/her *Sample/s*.

Suitable pH for Analysis: pH within the range of 5.0 to 7.5.

Suitable Specific Gravity for Analysis: Specific gravity measured at 1.005 or higher with a refractometer, or 1.010 or higher with lab sticks.

Suitable Volume of Urine for Analysis: A minimum of 100mL for full or part menu analysis, or a greater volume if so specified by the relevant Sample Analysis Authority.

Team Sport Collective Activity: As defined in clause [11.3.6] of this *International Standard for Testing*.

Whereabouts Failure: A Filing Failure or a Missed Test.

PART TWO: STANDARDS FOR *TESTING*

4.0 Planning

4.1 Objective

The objective is the development of test distribution plans that are specific to the relevant sport (in the case of an International Federation) and the relevant nation (in the case of a *National Anti-Doping Organization*). The common objective in each case is to plan and implement an effective distribution of *Tests* across *In-Competition* and *Out-of-Competition* periods in each nation or sport or discipline within the sport (as applicable), resulting in the effective detection, deterrence and prevention of doping practices in such sport/discipline/nation.

4.2 General

4.2.1 Each *ADO* with *Testing* jurisdiction must develop a plan for the efficient and effective allocation of its *Testing* resources across the different sports under its jurisdiction (in the case of a *NADO*) and across the different disciplines within a sport under its jurisdiction (in the case of an International Federation and a *NADO*). Such plan, which should be monitored, evaluated, modified and updated periodically as required, is referred to in this International Standard as the “test distribution plan”.

4.2.2 Planning starts with the gathering of information (e.g. in relation to the number of relevant *Athletes* in a particular sport/discipline/nation, as well as the basic structure of the season for the sport/discipline in question, including standard competition schedules and training patterns for each sport/discipline); evaluating the potential risk of doping and possible doping pattern for each sport/discipline/nation; and then developing a test distribution plan that deploys the available resources in the most efficient and effective way to address those risks.

4.2.3 The main activities are therefore information-gathering, monitoring and follow up; risk evaluation; and developing, monitoring, evaluating, modifying and updating the test distribution plan.

4.3 Requirements for test distribution planning

4.3.1 The basis of the test distribution plan must be a considered evaluation of the risk of doping and possible doping pattern for the sport/discipline/nation in question. In the case of *NADOs* (who are responsible for *Testing* across different sports within their respective national jurisdictions), in addition to conducting their own risk evaluations for each relevant sport/discipline they may also take

into account the relative risks of doping as between the different sports under their respective jurisdictions, as well as any national anti-doping policy requirements and priorities they may follow as between those different sports.

4.3.1 Comment: It is understood and expected that different NADOs will have different national policy requirements and priorities. For example, one NADO may have legitimate reasons to prioritize (some or all) Olympic sports while another may have legitimate reasons, because of different characteristics of that sporting nation, to prioritize (for example) certain professional sports. These national policy imperatives are a relevant consideration in the NADO's test distribution planning, along with the NADO's assessment of the relative risks of doping in the various sports played within its national jurisdiction. They may lead, for example, to a NADO deciding, in its test distribution plan for a particular period, (1) not to allocate any Testing to one or more sports within its jurisdiction; and/or (2) to allocate Testing to a particular sport in its test distribution plan but not to include any Athletes from that sport in its national Registered Testing Pool for purposes of triggering the whereabouts requirements of Section 11 of this International Standard. (See further clause [4.4.4(b)], below). Such decisions should be reviewed regularly in accordance with clause [4.3.11].

4.3.2 The ADO shall, as a minimum, evaluate the potential risk of doping and possible doping pattern for each sport and/or discipline based on:

- a) The physical demands of the sport and/or discipline and possible performance-enhancing effect that doping may elicit;
- b) Available doping analysis statistics;
- c) Available research on doping trends;
- d) The history of doping in the sport and/or discipline;
- e) Training periods and *Competition* season; and
- f) Information received on possible doping practices.

4.3.3 The ADO shall develop and document a test distribution plan based on the information referred to in clause [4.3.2]; the number of *Athletes* involved in the sport/discipline; the competition calendar; the anti-doping activities of other ADOs with responsibility for *Testing*; the evaluation outcomes of previous test distribution planning cycles; and (in the case of NADOs) the national anti-doping policy imperatives referenced at clause [4.3.1].

4.3.4 The ADO shall allocate the number of *Sample* collections that it has at its disposal for each sport/discipline/nation, as relevant, including between *Out-of-Competition* periods and *In-Competition* periods. The allocation of available *Sample* collections between *Out-of-Competition* periods and *In-Competition* periods shall take into account the relative risks of doping in such periods for each sport/discipline under evaluation.

4.3.5 Each International Federation shall evaluate the relative merits of *Out-of-Competition* and *In-Competition Testing* in its sport and in the various disciplines within that sport. In sports and/or disciplines with a high risk of

doping in *Out-of-Competition* periods, *Out-of-Competition Testing* shall be made a priority, and a substantial portion of *Testing* shall be conducted *Out-of-Competition*. For those sports and/or disciplines where there is a low risk of doping in the *Out-of-Competition* period, *In-Competition Testing* shall be made a priority, and a significant amount of *Testing* shall be conducted *In-Competition*. However, some material amount of *Out-of-Competition Testing* shall still take place.

4.3.6 Each *NADO/RADO* shall first determine how it will allocate the *Sample* collections at its disposal among the various sports under its jurisdiction, based on an analysis of the relative risks of doping between those sports as well as on the national anti-doping policy imperatives referenced at clause [4.3.1]. Having identified in this way the "priority" sports to which its *Testing* resources are to be allocated, the *NADO/RADO* shall then make its own evaluation of the relative merits of *Out-of-Competition* and *In-Competition Testing* in those "priority" sports. In those sports and/or disciplines where it assesses that there is a high risk of doping in the *Out-of-Competition* period, the *NADO/RADO* shall ensure that *Out-of-Competition Testing* is made a priority, and that a substantial portion of annual *Testing* is conducted *Out-of-Competition*. For those sports and/or disciplines where the *NADO/RADO* assesses that there is a low risk of doping in the *Out-of-Competition* period, *In-Competition Testing* shall be made a priority, and a substantial amount of *Testing* shall be conducted *In-Competition*. However, some material amount of *Out-of-Competition Testing* shall still take place.

4.3.7 In terms of developing a test distribution plan that takes into account in a coordinated manner the *Testing* activities of other relevant *ADOs*:

- a) When defining the *In-Competition Testing* period, the *ADO* shall permit *Testing* opportunities for other *ADOs* in the event that it is not conducting *Testing* during this defined *In-Competition Testing* period.
- b) *ADOs* shall coordinate *Testing* activities to avoid duplication. Clear agreement on roles and responsibilities for *Event Testing* shall be agreed in advance in accordance with Article 15.1 of the *Code*.
- c) *ADOs* shall, without any unnecessary delay, share information on *Testing* that it has conducted with other relevant *ADOs* via a centralized database system (e.g. ADAMS), in accordance with Article 14.5 of the *Code*.

4.3.8 As part of the test distribution plan, the *ADO* shall allocate the type of test for each sport/discipline/nation, as relevant, including urine and blood *Sample* collection where it deems appropriate.

4.3.9 The *ADO* shall ensure that the timing of *Testing* is planned to ensure optimum deterrence and detection of doping practices.

4.3.10 Save in exceptional and justifiable circumstances, all Testing shall be *No Advance Notice*:

- a) For *In-Competition Testing*, placeholder selection may be known in advance. However, random *Athlete*/placeholder selection shall not be revealed to the *Athlete* until notification.
- b) All *Out-of-Competition Testing* shall be *No Advance Notice* save in exceptional and justifiable circumstances.

4.3.11 The *ADO* shall document its test distribution plan and shall establish a system whereby that test distribution plan is reviewed and, if necessary, updated on a regular basis in order to incorporate new information and take into account *Sample* collection by other *ADOs*. Such data shall be used to assist with determining whether modifications to the plan are necessary.

4.3.12 The *ADO* shall ensure that *Athlete* Support Personnel and/or any other person with a conflict of interest shall not be involved in the test distribution planning for their *Athletes*.

4.4 Requirements for selection of *Athletes* for Testing

4.4.1 In accordance with the number and type of *Samples* allocated to each sport/discipline/nation in the test distribution plan, the *ADO* shall select *Athletes* for *Sample* collection using *Target Testing* and Random Selection methods.

4.4.2 *ADOs* shall ensure that a significant amount of *Testing* undertaken pursuant to the test distribution plan is *Target Testing*, based on the intelligent assessment of the risks of doping and the most effective use of resources to ensure optimum detection and deterrence. As a minimum, the *ADO* shall consider *Target Testing* of *Athletes* based on the following information:

- a) Injury;
- b) Withdrawal or absence from expected *Competition*;
- c) Going into or coming out of retirement;
- d) Behaviour indicating doping;
- e) Sudden major improvements in performance;
- f) Repeated failure to provide *Athlete Whereabouts Filings*;
- g) *Athlete Whereabouts Filings* that may indicate a potential increase in the risk of doping, including moving to a remote location;
- h) *Athlete* sport performance history;
- i) *Athlete* age, eg approaching retirement, move from junior to senior level;
- j) *Athlete* test history;
- k) *Athlete* reinstatement after a period of *Ineligibility*;

- l) Financial incentives for improved performance, such as prize money or sponsorship opportunities;
- m) *Athlete* association with a third party such as coach or doctor with a history of involvement in doping; and
- n) Reliable information from a third party.

4.4.3 *Testing* which is not *Target Testing* shall be determined by Random Selection, which shall be conducted using a documented system for such selection. Random Selection which is weighted shall be conducted according to clear criteria and may take into account the factors listed in clause [4.4.2] which apply to teams, disciplines, or nations, in order to ensure that a greater percentage of 'at risk' *Athletes* are selected.

4.4.4 As set out in clause [11.2] of this *International Standard*:

- a. in addition to developing a bespoke test distribution plan for its sport, an International Federation must define criteria for the inclusion of certain *Athletes* from its sport in an international *Registered Testing Pool*, to whom the whereabouts requirements of Section 11 of this *International Standard* will apply. For the avoidance of doubt, however, the International Federation's test distribution plan must encompass all relevant *Athletes*, not just *Athletes* included in the international *Registered Testing Pool*, and accordingly the International Federation shall select *Athletes* for *Testing* (including *Out-of-Competition Testing*) who are not included in its international *Registered Testing Pool*. However, a substantial proportion of the *Out-of-Competition* tests specified in the test distribution plan must be conducted on *Athletes* in the international *Registered Testing Pool*.
- b. in addition to developing a bespoke test distribution plan that allocates its *Testing* resources among some or all of the sports within its jurisdiction, a *NADO/RADO* must identify criteria for the inclusion of certain *Athletes* from some or all of those sports in a national *Registered Testing Pool*, to whom the whereabouts requirements of Section 11 of this *International Standard* will apply. For the avoidance of doubt, however, the *NADO/RADO's* test distribution plan must encompass all relevant *Athletes* from the sports in question, not just *Athletes* included in the national *Registered Testing Pool*, and accordingly the *NADO/RADO* shall select *Athletes* for *Testing* (including *Out-of-Competition Testing*) who are not included in the national *Registered Testing Pool*. However, where *Athletes* from a particular sport have been included in the national *Registered Testing Pool*, a substantial proportion of the *Out-of-Competition* tests allocated to that sport in the *NADO/RADO's* test distribution plan must be conducted on those *Athletes*.

4.4.4 Comment: As further explained in Section 11 of this International Standard, the main purpose of the Registered Testing Pool is to identify those Athletes from the relevant sport(s) who should be made subject to the whereabouts requirements of Section 11 of this International Standard. That decision will depend principally on the evaluation of the risk of Out-of-Competition doping in the sport(s) or discipline(s) in question: the greater that risk, the larger the Registered Testing Pool should be; the smaller that risk, the smaller the Registered Testing Pool can be. Accordingly, the number of Athletes in a Registered Testing Pool may vary considerably from sport to sport. In accordance with clause [11.2] of this Standard, however, there are certain minimum requirements for populating Registered Testing Pools, and pursuant to clause [4.4.4] a substantial number of the Out-of-Competition tests specified in the test distribution plan must be carried out on Athletes in the Registered Testing Pool.

In the case of a NADO/RADO, the relevant sports for purposes of clause [4.4.4(b)] shall be those sports within its jurisdiction that it decides, based on the national policy requirements and priorities referenced at clause 4.3.1, as well as the risk assessment and other factors referred to at clause 4.3.3, to treat as 'priority' sports for purposes of Out-of-Competition Testing. Based on those factors, a NADO/RADO may decide not to include any Athletes from a particular sport or sports in the national Registered Testing Pool. That decision should be reviewed regularly in accordance with clause [4.3.11]. However, where the NADO/RADO does decide to include Athletes from a particular sport in the national Registered Testing Pool, a substantial proportion of the Out-of-Competition tests allocated to that sport in the test distribution plan must be conducted on those Athletes.

4.4.5 Where the ADO authorizes a Doping Control Officer (DCO) to select Athletes for *Sample* collection, the ADO shall provide selection criteria to the DCO in accordance with the test distribution plan.

4.4.6 Following the selection of an Athlete for *Sample* collection and prior to notification of the Athlete, the ADO and/or DCO shall ensure Athlete selection decisions are disclosed only to those who need to know in order to ensure the Athlete can be notified and tested on a *No Advance Notice* basis.

5.0 Notification of Athletes

5.1 Objective

The objective is to ensure that reasonable attempts are made to locate the Athlete, the selected Athlete is notified as outlined in Article 5.4.1, the rights of the Athlete are maintained, there are no opportunities to manipulate the *Sample* to be provided and the notification is documented.

5.2 General

Notification of *Athletes* starts when the *ADO* initiates the notification of the selected *Athlete* and ends when the *Athlete* arrives at the Doping Control Station or when the *Athlete's* possible failure to comply is brought to the *ADO's* attention. The main activities are:

Appointment of DCOs, Chaperones and other Sample Collection Personnel;

Locating the *Athlete* and confirming his/her identity;

Informing the *Athlete* that he/she has been selected to provide a *Sample* and of his/her rights and responsibilities;

For *No Advance Notice Sample* collection, continuously chaperoning the *Athlete* from the time of notification to the arrival at the designated Doping Control Station; and

Documenting the notification, or notification attempt.

5.3 Requirements prior to notification of *Athletes*

5.3.1 Other than by exception, *No Advance Notice* shall be the notification method for *Sample* collection

5.3.2 To conduct or assist with Sample Collection Sessions, the *ADO* shall appoint and authorise Sample Collection Personnel who have been trained for their assigned responsibilities, who do not have a conflict of interest in the outcome of the *Sample* collection, and who are not *Minors*.

5.3.3 Sample Collection Personnel shall have official identification that is provided and controlled by the *ADO*. The minimum identification requirement is an official card or document naming the *ADO* through which they have been authorised. For DCOs, additional identification requirements shall include complimentary identification which includes their name and photograph (ie Anti-Doping Organization identification card, driver's licence, health card, passport or similar valid identification) and includes the card or document's expiry date. For Blood Collection Officers additional identification requirements include evidence of their professional training or affiliation which supports their qualification to collect blood *Samples*.

5.3.4 The *ADO* shall establish criteria to validate the identity of an *Athlete* selected to provide a *Sample*. This ensures the selected *Athlete* is the *Athlete* who is notified. The method of identification of the *Athlete* shall be documented on the doping control documentation.

5.3.5 The *ADO*, DCO or Chaperone, as applicable, shall establish the location of the selected *Athlete* and plan the approach and timing of notification, taking

into consideration the specific circumstances of the sport/*Competition*/training session/etc and the situation in question.

5.3.6 The *ADO* shall establish a system for the detailed recording of *Athlete* notification attempt/s and outcome/s.

5.3.7 The *Athlete* shall be the first one notified that he/she has been selected for *Sample* collection except where prior contact with a third party is required as specified in 5.3.8.

5.3.8 The *ADO/DCO/Chaperone*, as applicable, shall consider whether a third party is required to be notified prior to notification of the *Athlete* when the *Athlete* is a *Minor* as provided for in Annex C – Modifications for Athletes who are Minors, or where required by an *Athlete's* disability as provided for in Annex B - Modifications for *Athletes* with disabilities, or in situations where an interpreter is required and available for the notification.

5.4 Requirements for notification of *Athletes*

5.4.1 When initial contact is made, the *ADO*, DCO or Chaperone, as applicable, shall ensure that the *Athlete* and/or a third party if required in accordance with 5.3.8, is informed:

- a) That the *Athlete* is required to undergo a *Sample* collection;
- b) Of the authority under which the *Sample* collection is to be conducted;
- c) Of the type of *Sample* collection and any conditions that need to be adhered to prior to the *Sample* collection;
- d) Of the *Athlete's* rights, including the right to:
 - i. Have a representative and if available, an interpreter;
 - ii. Ask for additional information about the *Sample* collection process;
 - iii. Request a delay in reporting to the Doping Control Station for valid reasons; and
 - iv. Request modifications as provided for in Annex B – Modifications for *Athletes* with disabilities.
- e) Of the *Athlete's* responsibilities, including the requirement to:
 - i. Remain within direct observation of the DCO/Chaperone at all times from the first moment of in-person notification by the DCO/Chaperone until the completion of the *Sample* collection procedure;
 - ii. Produce identification in accordance with 5.3.4; and
 - iii. Comply with *Sample* collection procedures and the possible consequences of Failure to Comply; and

iv. Report immediately for an *Out-of-Competition* test, unless there are valid reasons for a delay. Report to the Doping Control Station as soon as possible, and within 60 minutes of notification, for an *In-Competition* test.

f) Of the location of the Doping Control Station.

5.4.2 When in-person contact is made, the DCO/Chaperone shall:

- a) From this time until the *Athlete* leaves the Doping Control Station at the end of his/her Sample Collection Session, keep the *Athlete* under observation at all times.
- b) Identify themselves to the *Athlete* using their official *ADO* identification card/document;
- c) Confirm the *Athlete's* identity as per the criteria established in 5.3.4. Confirmation of the *Athlete's* identity by any other method, or failure to confirm the identity of the *Athlete* shall be documented and reported to the *ADO*.
- d) In cases where the *Athlete's* identity can not be confirmed as per the criteria established in 5.3.4, the *ADO* shall decide whether it is appropriate to follow-up in accordance with Annex A – Investigating a possible failure to comply.

5.4.3 The Chaperone/DCO shall then have the *Athlete* sign an appropriate form to acknowledge and accept the notification. If the *Athlete* refuses to sign that he/she has been notified or evades the notification, the Chaperone/DCO shall if possible inform the *Athlete* of the consequences of failing to comply, and the Chaperone (if not the DCO) shall immediately report all relevant facts to the DCO. When possible the DCO shall continue to collect a *Sample*. The DCO shall document the facts in a detailed report and report the circumstances to the *ADO*. The *ADO* shall follow the steps prescribed in Annex A – Investigating a Possible Failure to Comply.

5.4.4 The DCO/Chaperone shall consider any reasonable third party requirement or any request by the *Athlete* to delay reporting to the Doping Control Station following acknowledgement and acceptance of notification and accept or reject such requests as appropriate in accordance with 5.4.5. The DCO shall document the reasons for any such delay that may require further investigation by the *ADO*.

5.4.5 A DCO may accept a request from an *Athlete* to delay reporting to the Doping Control Station, and/or to leave the Doping Control Station temporarily after arrival if the *Athlete* can be continuously chaperoned and kept under direct observation during the delay and if the request relates to the following activities:

For *In-Competition Testing*:

- a) Participation in a victory ceremony;
- b) Fulfilment of media commitments;
- c) Competing in further *competitions*;
- d) Performing a warm down;
- e) Obtaining necessary medical treatment;
- f) Locating a representative and/or interpreter;
- g) To obtain photo identification
- h) Any other exceptional circumstances which may be justified, and which shall be documented.

For *Out-of-Competition Testing*:

- a) Locating a representative;
- b) Completing a training session;
- c) Receiving treatment for injury;
- d) Any other exceptional circumstances which can be justified, and which shall be documented.

5.4.6 The DCO or other authorised sample collection personnel shall document the reasons for delay in reporting to the Doping Control Station and/or reasons for leaving the Doping Control Station that may require further investigation by the *ADO*. Confirmation that the athlete remained under constant observation should also be included in the documentation.

5.4.7 A DCO/Chaperone shall reject a request for delay from an *Athlete* if it will not be possible for the *Athlete* to be continuously chaperoned.

5.4.8 If the *Athlete* reports to the Doping Control Station after the maximum waiting time and prior to the DCO's departure, the DCO shall decide as to whether to process a possible Failure to Comply. If at all possible the DCO shall proceed with collecting a *Sample*, and shall document the details of the delay in the *Athlete* reporting to the Doping Control Station.

5.4.9 If, while keeping the *Athlete* under observation, Sample Collection Personnel observe any matter with potential to compromise the test, the circumstances shall be reported to and documented by the DCO. If deemed appropriate by the DCO, the DCO shall follow the requirements of Annex A – Investigating a Possible Failure to Comply and/or consider if it is appropriate to collect an additional sample from the *Athlete*.

6.0 Preparing for the Sample Collection Session

6.1 Objective

To prepare for the Sample Collection Session in a manner that ensures that the session can be conducted efficiently and effectively.

6.2 General

Preparing for the Sample Collection Session starts with the establishment of a system for obtaining relevant information for effective conduct of the session and ends when it is confirmed that the Sample Collection Equipment conforms to the specified criteria.

The main activities are:

- a) Establishing a system for collecting details regarding the Sample Collection Session;
- b) Establishing criteria for who may be authorised to be present during a Sample Collection Session;
- c) Ensuring that the Doping Control Station meets the minimum criteria prescribed in 6.3.2;
- d) Ensuring that Sample Collection Equipment used by the *ADO* meets the minimum criteria prescribed in 6.3.4.

6.3 Requirements for preparing for the Sample Collection Session

6.3.1 The *ADO* shall establish a system for obtaining all the information necessary to ensure that the Sample Collection Session can be conducted effectively, including special requirements to meet the needs of *Athletes* with disabilities as provided in Annex B – Modifications for *Athletes* with disabilities as well as Annex C – Modifications for *Athletes* who are Minors.

6.3.2 The DCO shall use a Doping Control Station which, at a minimum, ensures the *Athlete's* privacy and where possible is used solely as a Doping Control Station for the duration of the Sample Collection Session. The DCO shall record any significant deviations from these criteria.

6.3.3 The *ADO* shall establish criteria for who may be authorised to be present during the Sample Collection Session in addition to the Sample Collection Personnel. At a minimum the criteria shall include:

- a) An *Athlete's* entitlement to be accompanied by a representative and/or interpreter during the Sample Collection Session except when the *Athlete* is passing a urine *Sample*;
- b) A *Minor Athlete's* entitlement as provided for in Annex C – Modifications for Athletes who are Minors, and the witnessing DCO/Chaperone's entitlement to have a representative observe the witnessing DCO/Chaperone when the *Minor Athlete* is passing a urine *Sample*, but without the representative directly observing the passing of the *Sample* unless requested to do so by the *Minor Athlete*;
- c) An *Athlete* with a disability's entitlement to be accompanied by a representative as provided for in Annex B - Modifications for *Athletes* with disabilities;
- d) A *WADA Independent Observer* where applicable under the *Independent Observer Program*. The *WADA Independent Observer* shall not directly observe the passing of a urine *Sample*;

6.3.4 The ADO shall only use Sample Collection Equipment systems which at a minimum, shall meet the following criteria. They shall:

- a) Have a unique numbering system incorporated into all bottles, containers, tubes or any other item used to seal the *Athlete's Sample*;
- b) Have a sealing system that is tamper evident;
- c) Ensure the identity of the *Athlete* is not evident from the equipment itself;
- d) Ensure that all equipment is clean and sealed prior to use by the *Athlete*.

7.0 Conducting the Sample Collection Session

7.1 Objective

To conduct the Sample Collection Session in a manner that ensures the integrity, security and identity of the *Sample* and respects the privacy of the *Athlete*.

7.2 General

The Sample Collection Session starts with defining overall responsibility for the conduct of the Sample Collection Session and ends once the *Sample* collection documentation is complete.

The main activities are:

- a) Preparing for collecting the *Sample*;
- b) Collecting and securing the *Sample*; and

c) Documenting the *Sample* collection.

7.3 Requirements prior to *Sample* collection

7.3.1 The *ADO* shall be responsible for the overall conduct of the *Sample Collection Session* with specific responsibilities delegated to the *DCO*.

7.3.2 The *DCO* shall ensure that the *Athlete* has been informed of his/her rights and responsibilities as specified in 5.4.1.

7.3.3 The *DCO* shall provide the *Athlete* with the opportunity to hydrate.

7.3.4 The *Athlete* shall only leave the *Doping Control Station* under continuous observation by the *DCO/Chaperone* and with the approval of the *DCO*. The *DCO* shall consider any reasonable request by the *Athlete* to leave the *Doping Control Station*, as specified in 5.4.5 and 5.4.6, until the *Athlete* is able to provide a *Sample*.

7.3.5 If the *DCO* gives approval for the *Athlete* to leave the *Doping Control Station*, the *DCO* shall agree with the *Athlete* on the following conditions of leave:

- a) The purpose of the *Athlete* leaving the *Doping Control Station*; and
- b) The time of return (or return upon completion of an agreed activity); and
- c) That the athlete must remain under observation at all times; and
- d) The athlete shall not void a sample; and
- e) Should the *Athlete* choose to consume food or fluids they do so at their own risk

The *DCO* shall document this information and the actual time of the *Athlete's* departure and return.

7.4 Requirements for *Sample* collection

7.4.1 The *DCO* shall collect the *Sample* from the *Athlete* according to the following protocol/s for the specific type of *Sample* collection:

- a) Annex D: Collection of urine *Samples*
- b) Annex E: Collection of blood *Samples*

7.4.2 Any behaviour by the *Athlete* and/or persons associated with the *Athlete* or anomalies with potential to compromise the *Sample* collection shall be recorded in detail by the *DCO*. If appropriate, the *ADO* shall institute Annex A – Investigating a possible failure to comply.

7.4.3 If there are doubts as to the origin or authenticity of the *Sample*, the *Athlete* shall be asked to provide an additional *Sample*. If the *Athlete* refuses to

provide an additional *Sample* the DCO shall document in detail the circumstances around the refusal, and the ADO shall institute Annex A – Investigating a possible failure to comply.

7.4.4 The DCO shall provide the *Athlete* with the opportunity to document any concerns he/she may have about how the session was conducted.

7.4.5 In conducting the Sample Collection Session the following information shall be recorded as a minimum:

- a) Date, time and type of notification (*No Advance Notice*, advance notice, *In-Competition or Out-of-Competition*);
- b) Date and time of *Sample* provision;
- c) The name of the *Athlete*;
- d) The date of birth of the *Athlete*;
- e) The gender of the *Athlete*;
- f) The *Athlete's* home address and telephone number;
- g) The *Athlete's* sport and discipline;
- h) The name of the *Athlete's* coach and doctor
- i) The *Sample* code number;
- j) The name and signature of the witnessing DCO/Chaperone;
- k) The name and signature of the Blood Collection Officer who collected the blood *Sample*, where applicable;
- l) Required laboratory information on the *Sample*;
- m) Medications and supplements taken and recent blood transfusion details if applicable, within the timeframe specified by the lab as declared by the *Athlete*;
- n) Any irregularities in procedures;
- o) *Athlete* comments or concerns regarding the conduct of the session, if provided;
- p) *Athlete* consent or otherwise for the processing of test data in ADAMS;
- q) *Athlete* consent or otherwise for the use of the *Sample(s)* for research purposes;
- r) The name and signature of the *Athlete's* representative, if applicable as per 7.4.6; and
- s) The name and signature of the *Athlete*;
- t) The name and signature of the DCO.

7.4.6 At the conclusion of the testing session the *Athlete* and DCO shall sign appropriate documentation to indicate their satisfaction that the documentation accurately reflects the details of the *Athlete's Sample Collection Session*, including any concerns recorded by the *Athlete*. The *Athlete's* representative and the athlete shall both sign the documentation if the *Athlete* is a *Minor*. Other persons present who had a formal role during the *Athlete's Sample Collection Session* may sign the documentation as a witness of the proceedings.

7.4.7 The DCO shall provide the *Athlete* with a copy of the records of the Sample Collection Session that have been signed by the *Athlete*.

8.0 Security/Post test administration

8.1 Objective

To ensure that all *Samples* collected at the Doping Control Station and *Sample* collection documentation are securely stored prior to their departure from the Doping Control Station.

8.2 General

Post test administration begins when the *Athlete* has left the Doping Control Station after providing his/her *Sample/s*, and ends with preparation of all of the collected *Samples* and documentation for transport.

8.3 Requirements for Security/post test administration

8.3.1 The *ADO* shall define criteria ensuring that any sealed *Sample* will be stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station. The DCO shall ensure that any sealed *Sample* is stored in accordance with these criteria. Whenever possible, urine samples should be refrigerated or frozen soon after the collection procedure is completed.

8.3.2 Without exception, all *Samples* collected shall be sent to a *WADA* accredited laboratory or as otherwise approved by *WADA*. Whenever possible, urine samples should be transported refrigerated or frozen to the anti-doping laboratory.

8.3.3 The *ADO/DCO* shall develop a system to ensure that the documentation for each sealed *Sample* is completed and securely handled.

8.3.4 The *ADO* shall develop a system to ensure that, where required, instructions for the type of analysis to be conducted are provided to the *WADA* accredited laboratory or as otherwise approved by *WADA*.

9.0 Transport of Samples and documentation

9.1 Objective

- a) To ensure that *Samples* and related documentation arrive at the *WADA* accredited laboratory or as otherwise approved by *WADA* in proper condition to do the necessary analysis, and
- b) To ensure the Sample Collection Session documentation is sent by the DCO to the *ADO* in a secure and timely manner.

9.2 General

Transport starts when the sealed *Samples* and documentation leave the Doping Control Station and ends with the confirmed receipt of the *Samples* and *Sample* collection documentation at their intended destinations.

The main activities are arranging for the secure transport of *Samples* and related documentation to the *WADA* accredited laboratory or as otherwise approved by *WADA*, and arranging for the secure transport of *Sample* collection documentation to the *ADO*.

9.3 Requirements for transport and storage of *Samples* and documentation

9.3.1 The *ADO* shall authorise a transport system that ensures *Samples* and documentation will be transported in a manner that protects their integrity, identity and security.

9.3.2 The *ADO* shall develop a system for recording the Chain of Custody of the *Samples* and *Sample* collection documentation which includes confirming that both the *Samples* and *Sample* collection documentation have arrived at their intended destinations.

9.3.3 Sealed *Samples* shall always be transported to the *WADA* accredited laboratory or as otherwise approved by *WADA*, using the *ADO*'s authorised transport method as soon as practicable after the completion of the *Sample* Collection Session. *Samples* shall also be transported in a manner which minimizes the potential for sample degradation from the effects of factors such as time delays and extreme temperature variations. Whenever possible, urine samples should be transported refrigerated or frozen to the anti-doping laboratory.

9.3.4 Documentation identifying the *Athlete* shall not be included with the *Samples* or documentation sent to the *WADA* accredited laboratory or as otherwise approved by *WADA*.

9.3.5 The DCO shall send all relevant *Sample* Collection Session documentation to the *ADO* using the *ADO's* authorised transport method as soon as practicable after the completion of the *Sample* Collection Session.

9.3.6 Chain of Custody shall be checked by the *ADO* if receipt of either the *Samples* with accompanying documentation or *Sample* collection documentation is not confirmed at their intended destination or a *Sample's* integrity or identity may have been compromised during transport. In this instance, the *ADO* shall consider whether the *Sample* should be voided.

9.3.7 *Samples* shall be stored by the laboratory in accordance with the *International Standard* for Laboratories.

9.3.8 Documentation related to a Sample Collection Session and/or an *Anti-Doping Rule Violation* shall be stored by the *ADO* for a minimum of 8 years as per Article 17 of the *Code*.

10.0 Ownership of *Samples*

10.1. The testing authority with jurisdiction which initiates testing on the Athlete owns the *Samples* collected from the *Athlete*.

10.2. The testing authority may transfer ownership of the *Samples* to the result management authority.

11.0 *Athlete Whereabouts Requirements*

11.1 Basic principles

11.1.1 Whereas every *Athlete* must submit to *Testing* at any time and any place by an *ADO* with *Testing* jurisdiction over that *Athlete*, whether the *Athlete* is *In-Competition* or *Out-of-Competition*, it is recognised and accepted that *No Advance Notice Out-of-Competition Testing* is at the core of effective Doping Control. And it is further recognised and accepted that, without accurate *Athlete* whereabouts information, *Testing* of any kind can be inefficient and often impossible.

11.1.1 Comment: Such recognition is the fundamental rationale underlying Article 2.4 of the Code and Section 11 of this International Standard for Testing.

11.1.2 Therefore, in addition to developing a test distribution plan in accordance with Section 4 of this *International Standard*, an *ADO* shall also develop criteria for the inclusion of *Athletes* in a *Registered Testing Pool*, in accordance with clause [11.2] of this *International Standard*. In accordance with Article 14.3 of the *Code*, *Athletes* meeting such criteria shall then become subject to and required to comply with the *Athlete* whereabouts requirements set out in this Section 11.

11.1.3 Those *Athletes* designated for inclusion in a *Registered Testing Pool* are subject to a quarterly requirement, as detailed in clause [11.3] of this *International Standard*, to make an *Athlete Whereabouts Filing* that provides current and accurate information about the *Athlete's* whereabouts during the forthcoming quarter, including identifying where he/she will be living, training and competing during that quarter, so that he/she can be located for *Testing* at any time during that quarter. A failure to do so shall amount to a *Filing Failure* and shall therefore constitute a *Whereabouts Failure* for purposes of this *International Standard* and Article 2.4 of the *Code*.

11.1.4 An *Athlete* in a *Registered Testing Pool* is also required to specify in his/her *Athlete Whereabouts Filing*, for each day in the forthcoming quarter, one specific 60-minute time-slot where he/she will be available at a specified location for *Testing*. This does not limit in any way the *Athlete's* obligation to be available for *Testing* at any time and place, or his/her obligation to provide the specified information as to his/her whereabouts outside of that 60-minute time-slot. To the contrary, the *Athlete* may still be *Tested* at any time and place, whether or not he/she has specified such time and place in the 60-minute time-slot identified in his/her *Athlete Whereabouts Filing* for that day. However, if the *Athlete* is not available for *Testing* at such location during the 60-minute time-slot specified for that day in his/her *Athlete Whereabouts Filing*, and has not updated his/her *Athlete Whereabouts Filing* prior to that 60-minute time-slot to provide an alternative time-slot/location for that day, that failure shall amount to a *Missed*

Test and shall therefore constitute a Whereabouts Failure for purposes of this *International Standard* and Article 2.4 of the *Code*.

11.1.4 Comment: Where an attempt is made to Test the Athlete at a time and place that is not specified in the 60-minute time-slot set out for that day in his/her Athlete Whereabouts Filing, the Athlete must submit to such Testing. However, if that attempt is unsuccessful because the Athlete is not available for Testing at that time and place, the attempt shall not be treated as a Missed Test for purposes of Article 2.4 of the Code. See also comment to clause 11.4.4(b).

11.1.5 In accordance with Article 2.4 of the *Code*, an *Athlete* in a *Registered Testing Pool* shall be deemed to have committed an anti-doping rule violation if he/she commits a total of three Whereabouts Failures (which may be three Filing Failures, or three Missed Tests, or any combination of Filing Failures and Missed Tests adding up to three in total) within any 18 (eighteen) month period.

11.1.5 Comment: Only Athletes who have been designated for inclusion in a Registered Testing Pool, in accordance with Article 14.3 of the Code, are subject to the whereabouts requirements set out in Section 11 of this International Standard. Other Athletes are not subject to those whereabouts requirements, and so by definition they cannot commit any Whereabouts Failure or any anti-doping rule violation under Article 2.4 of the Code. However, they remain subject to Testing at any time and place. Furthermore, nothing in this International Standard prevents an ADO developing different whereabouts requirements for Athletes outside the Registered Testing Pool, failure to comply with which may constitute anti-doping rule violations under their own rules, independent of this International Standard and the Code.

11.1.6 In accordance with Article 15 of the *Code*, more than one ADO may have jurisdiction to *Test* an *Athlete* who has been designated for inclusion in a *Registered Testing Pool*. For purposes of clause [11.1.4], above, and in accordance with Article 15.4 of the *Code*, ADOs shall recognize and respect Filing Failures and Missed Tests declared by other ADOs pursuant to clause [11.5] of this *International Standard*, and those Filing Failures and Missed Tests declared by different ADOs shall be combined for purposes of Article 2.4 of the *Code*. As a consequence, an *Athlete* who commits any three Whereabouts Failures in any 18 (eighteen) month period shall be deemed to have committed an anti-doping rule violation under Article 2.4 of the *Code*, irrespective of which ADO(s) has/have declared the Whereabouts Failures in question.

11.1.7 The 18-month period referred to in clause [11.1.4], above, is a rolling period that starts to run on each date that an *Athlete* commits a Whereabouts Failure. It is not affected by any successful *Sample* collection conducted with respect to that *Athlete* during the 18-month period but instead continues to run, i.e. if a total of three Whereabouts Failures occur during the 18-month period then an anti-doping rule violation is committed under Article 2.4 of the *Code*, irrespective of any *Sample* collections successfully carried out in relation to that *Athlete* during that 18-month period. However, if an *Athlete* who has committed

one Whereabouts Failure does not go on to commit a further two Whereabouts Failures within 18 months of the first, at the end of that 18-month period the first Whereabouts Failure (but only the first Whereabouts Failure) shall “expire” and shall be disregarded thereafter for purposes of clause [11.1.5], above. A new 18-month period will then begin to run from the date of any subsequent Whereabouts Failure by the *Athlete*.

11.1.7 Comment: If an Athlete commits two Whereabouts Failures, but then does not commit a third within 18 months of the first, then the first Whereabouts Failure “expires” and a new 18-month period begins to run from the date of the second Whereabouts Failure.

11.1.8 Transitional arrangements:

- a. For purposes of this clause [11.1.8], the “Effective Date” shall be 1 January 2009;
- b. This version of the *International Standard for Testing*, including (without limitation) the provisions relating to mutual recognition of Whereabouts Failures declared by other *ADOs*, shall apply in full to all Whereabouts Failures occurring after the Effective Date; and
- c. Where an *Athlete* has failed to comply with any whereabouts requirements (declared in accordance with the then-applicable rules of the *ADO* in question) in the 18-month period up to the Effective Date, questions about whether such failures may be combined with each other and/or with post-Effective Date Whereabouts Failures for purposes of Article 2.4 of the *Code* shall be determined by reference to Article 25.2 of the *Code*.

11.1.8(c) Comment: Nothing in this Standard precludes an ADO providing in its rules that it will recognise whereabouts violations declared by other ADOs, even prior to the Effective Date, where such whereabouts violations are made public by the ADO(s) in question. Furthermore, an ADO may put an Athlete on notice that whereabouts failures committed subsequent to the notice but prior to the Effective Date will be combined with Whereabouts Failures committed after the Effective Date for purposes of proceedings under Article 2.4 of the Code.

11.1.9 An *Athlete* who has been designated for inclusion in a *Registered Testing Pool* shall continue to be subject to the whereabouts requirements set out in this *International Standard for Testing* unless and until:

- a. he/she retires from competition in the sport in question in accordance with the applicable rules and gives written notice to

his/her International Federation or National Anti-Doping Organization (as applicable) to that effect; or

- b. he/she has been given written notice by the Responsible ADO(s) that he/she is no longer designated for inclusion in its *Registered Testing Pool*.

11.2 Requirements for establishing the *Registered Testing Pool*

11.2.1 Each International Federation shall define the criteria for *Athletes* to be included in the international *Registered Testing Pool* for its sport, and shall publish those criteria as well as a list of the *Athletes* meeting those criteria (and so included in the international *Registered Testing Pool*) for the period in question. The criteria used should reflect the evaluation of the risks of *Out-of-Competition* doping in that sport that the International Federation has conducted in accordance with clause [4.2] of this *International Standard*. At a minimum, however, the international *Registered Testing Pool* must include *Athletes* who compete at a high level of international competition, including Olympic, Paralympic and World Championship medallists and the most highly ranked *Athletes*/teams in each discipline.

11.2.1 Comment: In accordance with clause [4.4.4] of this International Standard, a substantial proportion of the Out-of-Competition tests specified in the International Federation's test distribution plan must be carried out on Athletes in the international Registered Testing Pool.

11.2.2 Each *NADO/RADO* shall define the criteria for *Athletes* to be included in its national *Registered Testing Pool* from the sports that it has included in its test distribution plan, and shall publish those criteria as well as a list of the *Athletes* meeting those criteria (and so included in the national *Registered Testing Pool*) for the period in question. The criteria used should reflect the evaluation of the risks of *Out-of-Competition* doping in such sports that the *NADO/RADO* has conducted in accordance with clause [4.2] of this *International Standard*, as well as the national anti-doping policy imperatives referenced at clause [4.3.1]. Unless good reason exists otherwise, however, at a minimum the national *Registered Testing Pool* should include (i) *Athletes* over which the *NADO/RADO* has jurisdiction that have been included in an international *Registered Testing Pool*; and (ii) *Athletes* who are part of national teams in Olympic, Paralympic or other sports of high national priority (or who may be selected for such teams) and *Athletes* who train independently but perform at Olympic/Paralympic or World Championship level and may be selected for these events.

11.2.2 Comment: An example of a reason why a particular Athlete might not be included in the national Registered Testing Pool would be if such inclusion was inconsistent with the NADO's national anti-doping policy imperatives, as referenced in clause [4.3.1] of this International Standard. In accordance with clause [4.4.4] of this International Standard, where Athletes from a particular sport are included in a national Registered Testing Pool, a substantial

proportion of the Out-of-Competition tests allocated to that sport in the NADO's test distribution plan must be carried out on such Athletes.

11.2.3 In accordance with Article [10.11] of the *Code*, the *ADO* should include in its *Registered Testing Pool* those *Athletes* under its jurisdiction who are serving periods of *Ineligibility* or *Provisional Suspensions* as *Consequences of Anti-Doping Rule Violations*.

11.2.4 The *ADO* shall include in its *Registered Testing Pool* those *Athletes* under its jurisdiction who used to be in its *Registered Testing Pool* and are returning from a period of retirement.

11.2.5 The *ADO* may include in its *Registered Testing Pool* those *Athletes* under its jurisdiction whom it wishes to target for *Testing*.

11.2.6 The *ADO* shall periodically review and update as necessary its criteria for including *Athletes* in its *Registered Testing Pool*. In addition, the *ADO* shall periodically review its published list of *Athletes* in its *Registered Testing Pool* to ensure that each listed *Athlete* continues to meet such criteria. *Athletes* who no longer meet the criteria should be removed from the *Registered Testing Pool* and *Athletes* who meet the criteria should be added to the *Registered Testing Pool*. Such *Athletes* should be advised of the change in their status, and a new list of *Athletes* in the *Registered Testing Pool* should be published without delay.

11.2.7 For co-ordination purposes, the *ADO* shall make available to other relevant *ADOs* and *WADA* the criteria that the *ADO* has established for inclusion of *Athletes* in its *Registered Testing Pool*, the current list of *Athletes* in its *Registered Testing Pool*, and updates as necessary, in accordance with Article 14.3 of the *Code*.

11.3 Whereabouts Filing Requirements

11.3.1 Prior to the first day of each quarter (ie 1 January, 1 April, 1 July and 1 October, respectively), an *Athlete* who has been designated for inclusion in a *Registered Testing Pool* must file an *Athlete Whereabouts Filing* with his/her *International Federation* (if the *Athlete* has been included in its international *Registered Testing Pool*) or his/her *National Anti-Doping Organization* (if the *Athlete* has been included in its national *Registered Testing Pool*) that contains at least the following information:

11.3.1 Comment: If an Athlete is included simultaneously in both an international Registered Testing Pool and a national Registered Testing Pool, he/she should file his/her Athlete Whereabouts Filing only with his/her National Anti-Doping Organization. It is the responsibility of his/her National Anti-Doping Organization (i) to advise the Athlete's International Federation of the Athlete's inclusion in the national Registered Testing Pool, so that the International Federation knows that the Athlete will be filing his/her Athlete Whereabouts Filing with the National Anti-Doping Organization; and (ii) to share that filing with the Athlete's International Federation and other ADOs with jurisdiction to Test the Athlete, in accordance with clause [11.6.3], below.

- a. a complete mailing address where correspondence may be sent to the *Athlete* for notice purposes. Any notice or other item mailed to that address will be deemed to have been received by the *Athlete* five working days after it was deposited in the mail;

11.3.1(a) Comment: For these purposes, the Athlete should specify an address where he/she lives or otherwise knows that mail received there will be immediately brought to his/her attention. An ADO is encouraged also to include other notice and/or "deemed notice" provisions in its rules (for example, permitting use of fax, email, SMS text or other methods of service of notice; permitting proof of actual receipt as a substitute for deemed receipt; allowing notice to be served on the Athlete's National Federation if it is returned undelivered from the address supplied by the Athlete), to supplement this basic provision, and (by speeding up receipt) to shorten the results management time-lines set out in this International Standard.

- b. details of any disability of the *Athlete* that may affect the procedure to be followed in conducting a *Sample* collection session;
- c. specific confirmation, in accordance with Article 14.6 of the *Code*, of the *Athlete's* consent to the sharing of his/her *Athlete Whereabouts Filing* with other *ADOs* having authority to *Test* him/her;

- d. for each day during the following quarter, the full address of each place where the *Athlete* will be residing (e.g. home, temporary lodgings, hotel, etc);
- e. the name and address of each location where the *Athlete* will train, work or conduct any other regular activity (e.g. school) during the following quarter, as well as the usual time-frames for such regular activities; and

11.3.1(e) Comment: This requirement applies only to regular activities, ie activities that are part of the Athlete's regular routine. For example, if the Athlete's regular training routine is to train at the gym on a Monday and Tuesday, at the track on a Wednesday and Thursday, at the pool on a Friday and Saturday, and to rest on a Sunday, then the Athlete should provide the name and address of the gym, track and pool in his or her Athlete Whereabouts Filing, and then set out his/her usual routine, ie "Mondays: 9-11 gym; Tuesdays: 16-18 gym; Wednesdays: 9-11 track; Thursdays: 16-18 track; Fridays: 9-11 pool; Saturdays: 13-15 pool; Sundays: rest day, no training".

If the Athlete is not currently training, he/she should specify that in his/her Athlete Whereabouts Filing and detail any other routine that he/she will be following in the forthcoming filing period, eg his/her work routine, or school schedule, or rehab routine, or other routine, and identify the name and address of each location where that routine is conducted.

- f. the *Athlete's* competition schedule for the following quarter, including the name and address of each location where the *Athlete* is scheduled to compete during the quarter and the date(s) on which he/she is scheduled to compete at such location(s).

11.3.2 In addition to the information specified in clause [11.3.1], above, the Athlete Whereabouts Filing must also include, for each day during the following quarter, one specific location and one specific 60-minute time-slot during the day where the *Athlete* will be available and accessible for *Testing* at that location.

11.3.2 Comment: The Athlete can choose which location to identify for this 60-minute time-slot. It could be the Athlete's place of residence, training or competition, or it could be another location (e.g. work or school). In each case, however, the Athlete must provide sufficient information to enable the DCO to find the location, to gain access to the location, and to find the Athlete at the location. For example, declarations such as "running in the forest" are insufficient and are likely to result in a Whereabouts Failure. Similarly, specifying a location that the DCO cannot access (eg a "restricted-access" building or area) is likely to result in an unsuccessful attempt to Test the Athlete and therefore a Whereabouts Failure.

To emphasize, the specification of the 60-minute time-slot does not mean that the Athlete need only make him/herself available for Testing in that time-slot, or that ADOs should limit their Testing efforts to that time-slot. To the contrary, the Athlete remains subject to Testing at any time and place, and ADOs are entitled, and encouraged, to Test the Athlete outside of the 60-minute time-slot, whether by using the information set out in his/her Athlete Whereabouts Filing or otherwise. The only difference where Testing is attempted during the 60-minute time-slot is that a Missed Test may be declared if the Athlete is not available for Testing during that time-slot at the specific location identified in his/her Athlete Whereabouts Filing for the day in question, whereas outside that time-slot a Missed Test may not be declared.

11.3.3 When making an Athlete Whereabouts Filing, it is the Athlete's responsibility to ensure that he/she provides all of the information required accurately and in sufficient detail to enable any ADO wishing to do so to locate the Athlete for Testing on any given day in the quarter, including in particular during the 60-minute time-slot specified for that day in the Athlete Whereabouts Filing. The Athlete must use the ADAMS or other electronic filing form(s) or the paper form(s) provided by the Responsible ADO for the purpose, or (where no forms are provided) he/she must provide the required information in a clear and comprehensible format.

11.3.3 Comment: WADA will make a template form available for use/adaptation by ADOs. Where an Athlete does not know precisely what his/her whereabouts will be at all times during the forthcoming quarter, he/she must provide his/her best information, based on where he/she expects to be at the relevant times. Then, in accordance with clause [11.4.3], below, the Athlete should update the Athlete Whereabouts Filing as necessary during the following period as soon as he/she becomes aware that the information originally provided is no longer accurate or complete or sufficient to enable him/her to be located for Testing. Anti-Doping Organisations should provide appropriate mechanisms (e.g. Internet, email, SMS) to facilitate the filing of such updates.

11.3.4 Any Athlete who knowingly provides inaccurate or misleading information in his/her Athlete Whereabouts Filing, whether in relation to his/her location during the specified daily 60-minute time-slot, or in relation to his/her whereabouts outside that time-slot, or otherwise, is guilty of evading Sample collection, which is an anti-doping rule violation under Article 2.3 of the Code, and/or of providing fraudulent information to an ADO, which is an anti-doping rule violation under Article 2.5 of the Code.

11.3.5 An Athlete may only be declared to have committed a Filing Failure where the Responsible ADO, following the results management procedure set out at clause [11.5.2], below, can establish each of the following:

- a. that the Athlete was duly notified (i) that he/she was designated for inclusion in a Registered Testing Pool, (ii) of the consequent

requirement to make Athlete Whereabouts Filings; and (iii) of the consequences of any failure to comply with that requirement;

- b. that the *Athlete* failed to comply with that requirement by the applicable deadline;
- c. (in the case of a second or third Filing Failure in the same quarter) that the provisions of clause [11.3.7], below, have been met; and
- d. that the *Athlete's* failure to comply was at least negligent. For these purposes, the *Athlete* will be presumed to have committed the failure negligently upon proof that he/she was notified of the requirement yet failed to comply with it. That presumption may only be rebutted by the *Athlete* establishing that no negligent behaviour on his/her part caused or contributed to the failure.

11.3.5(d) Comment: The actual degree of fault involved on the part of the Athlete (ie negligence or greater) will be relevant to the assessment, under Article [10.3.3] of the Code, of the period of Ineligibility that should be imposed in the event that an Article 2.4 anti-doping rule violation is established.

11.3.6 An *Athlete* in the RTP may choose to delegate the making of some or all of his/her Athlete Whereabouts Filings required under clauses 11.3.1 and 11.3.2, above (and/or any updates to his/her Athlete Whereabouts Filings required under clause 11.4.3, below) to a third party, such as (for example) a coach, a manager or a National Federation, provided that the third party agrees to such delegation. For example, in a *Team Sport*, given that *Athletes* who play for the same team are especially likely to participate collectively in training and other activities organised by that team ("**Team Sport Collective Activity**"), if such *Athletes* are in a *Registered Testing Pool* and so are required to make Athlete Whereabouts Filings, it is permitted for an official of the team to file information with the Responsible ADO(s) as to the whereabouts of such *Athletes* during such Team Sport Collective Activity periods (as well as, if agreed, other periods), instead of requiring each individual *Athlete* to make such filings him/herself. In all cases, however, including in *Team Sports*:

- a. each *Athlete* in an RTP remains ultimately responsible at all times for making accurate and complete Athlete Whereabouts Filings as required by this clause 11.3, whether he/she makes each filing personally or delegates it to a third party (or a mixture of the two). It shall not be a defence to an allegation of a Filing Failure under Article 2.4 of the *Code* that the *Athlete* delegated such responsibility to a third party and that third party failed to comply with the applicable requirements; and

- b. such *Athlete* remains personally responsible at all times for ensuring he/she is available for *Testing* at the whereabouts declared on his/her *Athlete Whereabouts Filings*, whether he/she made that filing personally or delegated it to a third party (or a mixture of the two). It shall not be a defence to an allegation of a *Missed Test* under Article 2.4 of the Code that the Athlete had delegated responsibility for filing his/her whereabouts information for the relevant period to a third party and that third party had failed to file the correct information or failed to update previously-filed information so as to ensure that the whereabouts information in the *Athlete Whereabouts Filing* for the day in question was current and accurate.

11.3.6 Comment: For example, if an attempt to Test an Athlete in a Team Sport during a Team Sport Collective Activity period is unsuccessful due to a team official filing the wrong information for the relevant period on behalf of the Athlete, or failing to update previously-filed information where the Athlete's whereabouts for the relevant period has subsequently changed, it may be that the team official is liable for sanction under the applicable rules of his/her International Federation or National Federation for such failure, but the Athlete him/herself will still be liable (assuming that the requirements of clause [11.4.4], below, are satisfied) for a Missed Test.

For the avoidance of doubt, an Athlete in a Team Sport may delegate the making of his/her Athlete Whereabouts Filings to a team official not only in respect of periods of Team Sport Collective Activity but also in respect of other periods, provided the team agrees.

Similarly, an Athlete in a sport that is not a Team Sport may delegate the making of his/her Athlete Whereabouts Filings to a third party for some or all relevant periods, provided that that third party agrees.

The Responsible ADO may at its election require written notice of any agreed delegation pursuant to clause 11.3.6 to be filed with it, signed by both the Athlete in question and the third party delegate.

11.3.7 An *Athlete* may be declared to have committed multiple Filing Failures in the same quarter. To ensure fairness to the *Athlete*, however, the *Athlete* cannot be declared to have committed a second (or subsequent) Filing Failure in that quarter unless he/she has failed to file an appropriate Athlete Whereabouts Filing by the end of the month in which he/she receives notice (in accordance with clause [11.5.2(a)], below) of the initial (or prior) Filing Failure.

11.3.8 Comment: In the notice of the Filing Failure that the Responsible ADO sends to the Athlete in accordance with clause [11.5.2(a)], below, the Responsible ADO should warn the Athlete that, in order to avoid a further Filing Failure, he/she must file the required Athlete Whereabouts Filing before the end of the month in which the notice is received.

11.3.8 For purposes of determining whether the relevant Whereabouts Failures have occurred within an 18-month period, a Filing Failure will be deemed to have occurred on the first day of the quarter for which the *Athlete* fails to make the required filing, or (in the case of any subsequent Filing Failure in the same quarter) on the first day of the month in that quarter following the month in which the clause [11.5.2(a)] notice is received.

11.4 Availability for *Testing*

11.4.1 Without prejudice to the general obligation to provide information as to his/her whereabouts generally during the forthcoming quarter, and to submit to *Testing* at any time and any place during that quarter, an *Athlete* who has been designated for inclusion in a *Registered Testing Pool* must specifically be present and available for *Testing* on any given day in the relevant quarter for the 60-minute time-slot specified for that day in his/her *Athlete Whereabouts Filing*, at the location that the *Athlete* has specified for that time-slot in such filing.

11.4.2 It is the *Athlete's* responsibility to ensure that the whereabouts information provided in his/her *Athlete Whereabouts Filing* is sufficient to enable any *ADO* to locate him/her for *Testing* on any given day in the quarter, including during the 60-minute time-slot specified for that day in his/her *Athlete Whereabouts Filing*. If the information provided is insufficient for that purpose, and as a result an *ADO's* attempt to *Test* the *Athlete* during the 60-minute time-slot is unsuccessful, then (subject to satisfaction of the requirements of clause [11.4.4], below) that unsuccessful attempt during the 60-minute time-slot shall be deemed a *Missed Test* and so a *Whereabouts Failure* for purposes of Article 2.4 of the *Code*.

11.4.3 Where any change in circumstances means that the information previously provided by or on behalf of the *Athlete* (whether in the initial *Athlete Whereabouts Filing* or in any subsequent update) is no longer accurate or complete (e.g. it is not sufficient to enable any *ADO* to locate the *Athlete* for *Testing* on any given day in the relevant quarter, including during the 60-minute time-slot that he/she has specified for that day), the *Athlete* must update his/her *Athlete Whereabouts Filing* so that the information on file is again accurate and complete. He/she must make such update as soon as possible, and in any event prior to the 60-minute time-slot specified in his/her filing for that day. If the *Athlete* fails to do so, and as a result an attempt to *Test* him/her during the specified 60-minute time-slot is unsuccessful, then (subject to satisfaction of the requirements of clause [11.4.4], below) the unsuccessful attempt shall be deemed a *Missed Test* and so a *Whereabouts Failure*.

11.4.3 Comment: It is the responsibility of the ADO to ensure that it checks for any updates filed by the Athlete prior to attempting to collect a Sample from the Athlete based on his/her Athlete Whereabouts Filing. For the avoidance of doubt, however, an Athlete who updates his/her 60-minute time slot for a particular day prior to the original 60-minute slot is still liable to be Tested during the original 60-minute time-slot, if he/she is located for Testing

during that original 60-minute time-slot. Any pattern of last-minute updates by an Athlete should be investigated by the Responsible ADO as a possible anti-doping rule violation of evading (or attempting to evade) Sample collection under Article 2.3 of the Code.

11.4.4 An Athlete may only be declared to have committed a Missed Test where the Responsible ADO, following the results management procedure set out at clause [11.5.3], below, can establish each of the following:

- a. that when the Athlete was given notice that he/she had been designated for inclusion in a Registered Testing Pool, he/she was advised of the consequent requirement to be available for Testing during the 60-minute time-slot specified in his/her Athlete Whereabouts Filing at the location specified for that time-slot, and of the potential consequences of any failure to comply with that requirement;
- b. that a DCO attempted to Test the Athlete on a given day in the quarter, by attending, for the whole of the 60-minute time-slot specified in the Athlete's Athlete Whereabouts Filing for that day, at the location specified for that time-slot;

11.4.4(b) Comment: If the Athlete is not available for Testing at the beginning of the 60-minute time-slot, but becomes available for Testing later on in the 60-minute time-slot, the DCO should collect the Sample and should not process the attempt as a Missed Test, but should include full details of the delay in availability of the Athlete in the DCO's Sample collection report. Any pattern of behaviour of this type should be investigated by the Responsible ADO as a possible anti-doping rule violation of evading (or attempting to evade) Sample collection under Article 2.3 of the Code.

The Athlete must remain with the DCO until the Sample collection has been completed, even if this takes longer than the 60-minute time-slot.

If an Athlete is not available for Testing during his/her specified 60-minute time-slot at the location specified for that time-slot for that day, he/she will be liable for a Missed Test even if he/she is located later that day and a Sample is successfully collected from him/her.

- c. that during that specified 60-minute time-slot, the DCO did what was reasonable in the circumstances (i.e. given the nature of the specified location) to try to locate the Athlete, short of giving the Athlete any Advance Notice of the Test;
- d. that the provisions of clause [11.4.5], below, have been met; and
- e. that the Athlete's failure to be available for Testing at the specified location during the specified 60-minute time-slot was at

least negligent. For these purposes, the *Athlete* will be presumed to have committed the failure negligently upon proof of the matters set out at sub-clauses [11.4.4(a) to (d)], above. That presumption may only be rebutted by the *Athlete* establishing that no negligent behaviour on his/her part caused or contributed to him/her (i) being unavailable for *Testing* at such location during such time-slot; and (ii) not updating his/her most recent *Athlete Whereabouts Filing* to give notice of a different location where he/she would instead be available for *Testing* during a specified 60-minute time slot on the relevant day.

11.4.4(e) Comment: The actual degree of fault involved on the part of the Athlete (ie whether negligence or greater) will be relevant to the assessment, under Article [10.3.3] of the Code, of the period of Ineligibility that should be imposed in the event that an Article 2.4 anti-doping rule violation is established.

11.4.5 To ensure fairness to the *Athlete*, where an unsuccessful attempt has been made to *Test* an *Athlete* during one of the 60-minute time-slots specified in his/her *Athlete Whereabouts Filing*, any subsequent attempt to *Test* that *Athlete* (by the same or any other *ADO*) may only be counted as a Missed Test against that *Athlete* if that subsequent attempt takes place after the *Athlete* has received notice, in accordance with clause [11.5.3(b)], below, of the original unsuccessful attempt.

11.4.6 For purposes of determining whether the relevant Whereabouts Failures have occurred within an 18-month period, a Missed Test will be deemed to have occurred on the date that the *Sample* collection was unsuccessfully attempted.

11.5 Results Management

11.5.1 Annex A of the *International Standard for Testing* (“Investigating a possible failure to comply”) shall not apply with respect to Whereabouts Failures. Instead, the provisions of this section [11.5] shall apply.

11.5.2 The results management process in respect of an apparent Filing Failure shall be as follows:

- a. If it appears that all of the clause [11.3.5] requirements relating to Filing Failures are satisfied, then no later than 14 (fourteen) days after the date of the apparent Filing Failure the Responsible ADO must send notice to the *Athlete* in question of the apparent Filing Failure, inviting the *Athlete* to establish that there has been no Filing Failure (because not all of the requirements of clause [11.3.5] have been met) and/or to explain any exceptional circumstances causing such Filing Failure within 14 (fourteen) days of receipt of the notice. In the notice, the *ADO* should warn the *Athlete*:

- i. that if the *Athlete's* explanation is not found to be sufficient to excuse the apparent Filing Failure, then (subject to the remainder of the results management process set out below) the *Athlete* will be deemed to have committed a Whereabouts Failure; and
- ii. of the consequences to the *Athlete* if he/she is deemed to have committed a Whereabouts Failure.

11.5.2(a)(ii) Comment: The notice should advise the Athlete whether any other Whereabouts Failures have been declared against him/her as of that date in respect of the 18-month period prior to this alleged Whereabouts Failure.

- b. Where the *Athlete* disputes the Filing Failure or offers an explanation for it, the Responsible ADO must assess whether all of the clause [11.3.5] requirements are met, including assessing that explanation against the criteria set out in clause [11.3.5(d)], above. The Responsible ADO must advise the *Athlete*, by letter sent no later than 14 (fourteen) days after receipt of the *Athlete's* response, whether or not the explanation is considered sufficient.
- c. If the explanation is considered sufficient, the incident in question shall not be considered a Filing Failure for any purpose.

11.5.2(c) Comment: Any notice sent to an Athlete pursuant to clause [11.5.2(b)] shall also be sent to WADA and any other party with a right of appeal under Article 13 of the Code, and may be appealed by WADA and/or such other party or parties in accordance with that Article.

- d. If an explanation is not received by the relevant deadline, or an explanation is received that is not considered sufficient, the Responsible ADO shall send notice to the *Athlete* that therefore the alleged Filing Failure is to be treated as a Whereabouts Failure. The Responsible ADO shall at the same time advise the *Athlete* that he/she has the right to an administrative review of the alleged Filing Failure and that he/she does not have to exercise such right, but that if he/she does not exercise such right within 14 (fourteen) days of receipt of the notice then (subject only to clause 11.5.6, below) he/she will not be entitled to dispute the Filing Failure at any subsequent hearing, but instead will be deemed to have admitted such Filing Failure;
- e. Where it is requested by the *Athlete*, such administrative review shall be conducted by a designee of the Responsible ADO who was not involved in the previous assessment of the apparent Filing Failure. It shall be based on written submissions only, and

shall consider whether all of the requirements of clause [11.3.5] are met. The review shall be completed within 14 (fourteen) days of receipt of the *Athlete's* request and the decision shall be communicated to the *Athlete* by letter sent no more than 7 (seven) days after the decision is made;

11.5.2(e) Comment: Nothing in this Article prevents a sufficiently resourced ADO using a panel of up to three persons to conduct such administrative review, provided that none of those persons has been involved in the previous assessment of the apparent Filing Failure.

- f. If it appears to the designee that the requirements of clause [11.3.5] have not been met, then the alleged Filing Failure shall not be treated as a Whereabouts Failure for any purpose; and
- g. If the *Athlete* does not request an administrative review of the alleged Filing Failure by the relevant deadline, or if the designee conducting the administrative review concludes that all of the requirements of clause [11.3.5] have been met, then the Responsible ADO shall record a Filing Failure against the *Athlete* and shall notify the *Athlete* and (on a confidential basis) *WADA* and all other relevant *ADOs* of that Filing Failure and the date of its occurrence.

*11.5.2(g) Comment: For the avoidance of doubt, the Responsible ADO is not precluded from notifying other relevant *ADOs* (on a confidential basis) of the alleged Filing Failure at an earlier stage of the results management process. Rather, the Responsible ADO is entitled to do so, where it considers it appropriate (for Test planning purposes or otherwise). In any event, the notice should again advise the *Athlete* whether any other Whereabouts Failures have been declared against him/her in respect of the 18-month period prior to this alleged Whereabouts Failure.*

11.5.3 The results management process in the case of an apparent Missed Test shall be as follows:

- a. The DCO shall file a Missed Test Report with his/her *ADO*, setting out the details of the attempted *Sample* collection, including the date of the attempted *Sample* collection, the location visited, the exact arrival and departure times at the location, the step(s) taken at the location to try to find the *Athlete*, including details of any contact made with third parties, and any other relevant details about the attempted *Sample* collection.

*11.5.3(a) Comment: WADA will make a template Missed Test Report available for use/adaptation by *ADOs*.*

- b. If it appears that all of the clause [11.4.4] requirements relating to Missed Tests are satisfied, then no later than 14 (fourteen) days after the date of the attempted *Sample* collection, the *ADO* that attempted the *Test* must send notice to the *Athlete* in question of the apparent Missed Test, inviting the *Athlete* to establish that there has been no Missed Test (because not all of the requirements of clause [11.4.4] have been met) and/or to explain any exceptional circumstances causing such Missed Test within 14 (fourteen) days of receipt of the notice. In the notice, the *ADO* should warn the *Athlete*:
- i. that if the *Athlete's* explanation is not found to be sufficient to excuse the apparent Missed Test, then (subject to the remainder of the results management process set out below) the *Athlete* will be deemed to have committed a Whereabouts Failure; and
 - ii. of the consequences to the *Athlete* if he/she is deemed to have committed a Whereabouts Failure.

11.5.3(b)(ii) Comment: The notice should advise the Athlete whether any other Whereabouts Failures have been declared against him/her as of that date in respect of the 18-month period prior to this alleged Whereabouts Failure.

- c. Where the *Athlete* offers an explanation for the alleged Missed Test, the *ADO* that attempted to *Test* the *Athlete* must assess whether all of the clause [11.4.4] requirements are met, including assessing any explanation offered by the *Athlete* against the criteria set out in clause [11.4.4(e)], above. The *ADO* must advise the *Athlete*, by letter sent no later than 14 (fourteen) days after receipt of the *Athlete's* response, whether the explanation is accepted as sufficient.
- d. If the explanation is accepted as sufficient, then the unsuccessful attempt to *Test* the *Athlete* shall not be treated as a Whereabouts Failure for any purpose.

11.5.3(c) Comment: Any notice sent to an Athlete pursuant to clause [11.5.3(c)] shall also be sent to WADA and any other party with a right of appeal under Article 13 of the Code, and may be appealed by WADA and/or such party or parties in accordance with that Article.

- e. If an explanation is not received by the relevant deadline, or an explanation is received but is not considered sufficient, the Responsible ADO shall send notice to the *Athlete* that therefore the unsuccessful attempt is to be treated as a Whereabouts Failure. The *ADO* shall at the same time advise the *Athlete* that

he/she has the right to request an administrative review of the alleged Missed Test, and that he/she does not have to exercise such right, but that if he/she does not exercise such right within 14 (fourteen) days of receipt of the notice then (subject only to clause 11.5.6, below) he/she will not be entitled to dispute the Missed Test at any subsequent hearing, but instead will be deemed to have admitted such Missed Test. The Missed Test Report must be provided to the *Athlete* at this point if it has not been provided earlier in the process.

11.5.3(e) Comment: The ADO may provide the Missed Test Report to the Athlete prior to this stage if it so chooses (i.e. when it sends the initial notice in accordance with clause 11.5.3(b)), or it may initially provide only the basic details of the apparent Missed Test, holding back the full Missed Test Report to be provided only at this stage.

- f. Where requested, such administrative review shall be conducted by a designee of the *ADO* who was not involved in the previous assessment of the apparent Missed Test, shall be based on written submissions alone, and shall consider whether all of the requirements of clause [11.4.4] are met. If necessary, the relevant DCO may be asked to provide further information to the designee. The review shall be completed within 14 (fourteen) days of receipt of the *Athlete's* request and the decision shall be communicated to the *Athlete* by letter sent no more than 7 (seven) days after the decision is made.

11.5.3(f) Comment: Nothing in this Article prevents a sufficiently resourced ADO setting up a panel of up to three persons to conduct such administrative review, provided that none of those persons has been involved in the previous assessment of the apparent Missed Test.

- g. If it appears to the designee that the requirements of clause [11.4.4] have not been met, then the unsuccessful attempt to *Test* the *Athlete* shall not be treated as a Missed Test for any purpose; and
- h. If the *Athlete* does not request an administrative review of the alleged Missed Test by the relevant deadline, or if a review is requested by the deadline but the designee conducting the review concludes that all of the requirements of clause [11.4.4] have been met, then the *ADO* that attempted the *Test* shall record a Missed Test against the *Athlete* and shall notify the *Athlete* and (on a confidential basis) *WADA* and all other relevant *ADOs* of that Missed Test and the date of its occurrence.

11.4.3(h) Comment: For the avoidance of doubt, the ADO that attempted the Test is not precluded from notifying other relevant ADOs

(on a confidential basis) of the alleged Missed Test at an earlier stage of the results management process. Rather, it is entitled to do so, where it considers it appropriate (for Test planning purposes or otherwise). In any event, the notice should again advise the Athlete whether any other Whereabouts Failures have been declared against him/her in respect of the 18-month period prior to this alleged Whereabouts Failure.

Whenever such notice is received, the Responsible ADO (if different from the ADO that attempted the Test) is encouraged to review the file immediately to determine whether, in its view, the evidence in relation to the Missed Test declared by the ADO that attempted the Test is sufficient to support a charge under Article 2.4 of the Code. The Responsible ADO should raise any issues of concern with the notifying ADO as soon as possible, i.e. it should not wait until an Athlete has amassed three Whereabouts Failures within any one 18-month period before raising any concern. Any decision by the Responsible ADO that a declared Whereabouts Failure should be disregarded for lack of sufficient evidence shall be without prejudice to WADA's right of appeal under Article 13 of the Code and clause [11.5.6(b)] of this International Standard, and in any event shall not affect the validity of any other Whereabouts Failures declared against the Athlete in question.

11.5.4 An ADO that declares, or that receives notice of, a Whereabouts Failure in respect of an Athlete shall not disclose that information beyond those persons with a need to know unless and until that Athlete is found to have committed an anti-doping rule violation under Article 2.4 of the Code based on (among other things) such Whereabouts Failure. This shall not preclude an ADO from publishing a general statistical report of its activities that discloses the number of Whereabouts Failures that have been declared in respect of Athletes under its jurisdiction during a particular period, provided that it does not publish any information that might reveal the identity of the Athletes involved.

11.5.5 The Responsible ADO shall keep a record of all Whereabouts Failures recorded in respect of each Athlete within its Registered Testing Pool. Where such an Athlete commits 3 (three) Whereabouts Failures within any 18-month period:

- a. Where two or more of those Whereabouts Failures were declared by an ADO that had the Athlete in its Registered Testing Pool at the time of those failures, then that ADO (whether the International Federation or a NADO) shall be the Responsible ADO for purposes of bringing proceedings against the Athlete for an anti-doping rule violation under Article 2.4 of the Code. If not (for example, if the Whereabouts Failures were declared by three different ADOs), then the Responsible ADO for these purposes will be the ADO whose Registered Testing Pool the Athlete was in as of the date of the third Whereabouts Failure. If the Athlete was in both the international and a national Registered Testing Pool as

of that date, the Responsible ADO for these purposes shall be the International Federation.

11.5.5(a) Comment: The Responsible ADO shall have the right to receive, from any other ADO that declared one of the Whereabouts Failures in question, such further information about that Whereabouts Failure as the Responsible ADO may reasonably require in order to assess the strength of the evidence of such Whereabouts Failure and to bring proceedings under Article 2.4 of the Code in reliance thereon. If the Responsible ADO decides in good faith that the evidence in relation to such Whereabouts Failure(s) is insufficient to support such proceedings under Article 2.4 of the Code, then it may decline to bring proceedings based on such Whereabouts Failure(s). Any decision by a Responsible ADO that a declared Whereabouts Failure should be disregarded for lack of sufficient evidence shall be without prejudice to WADA's right of appeal under Article 13 of the Code and clause [11.5.5(b)] of this International Standard, and in any event shall not affect the validity of the other Whereabouts Failures declared against the Athlete in question.

- b. Where the Responsible ADO fails to bring proceedings against an Athlete under Article 2.4 of the Code within 30 (thirty) days of WADA receiving notice of that Athlete's third Whereabouts Failure in any 18-month period, then it shall be deemed that the Responsible ADO has decided that no anti-doping rule violation was committed, for purposes of triggering the appeal rights set out at Article 13 (in particular Article 13.2) of the Code.

11.5.5(b) Comment: In such circumstances, WADA shall have the right to request, and the ADO(s) that declared such Whereabouts Failure(s) must provide, such further information about the Whereabouts Failure(s) as WADA shall reasonably require in order to assess the strength of the evidence of such Whereabouts Failure(s) and to bring an appeal in accordance with Article 13 of the Code.

11.5.6 An Athlete alleged to have committed an anti-doping rule violation under Article 2.4 of the Code shall have the right to have such allegation determined at a full evidentiary hearing in accordance with Article 8 of the Code. At such hearing, the tribunal shall not be bound by any determination made during the results management process, whether as to the adequacy of any explanation offered for a Whereabouts Failure or otherwise. Instead, the burden shall be on the ADO bringing the proceedings to establish all of the requisite elements of each Whereabouts Failure relied upon in support of the proceedings. The only exception to this shall be that if the Athlete did not request an administrative review of the initial determination to treat the incident as a Whereabouts Failure, pursuant to either clause [11.5.2(d)] or clause [11.5.3(e)] (as applicable), the Athlete may not dispute that Whereabouts Failure at the hearing, but rather shall be deemed to have admitted it, unless he/she can show that new facts have emerged, of which he/she did not know and could not using

reasonable diligence have known earlier in the results management process, which new facts provide a basis to dispute the Whereabouts Failure in question.

11.5.6 Comment: The ADO that brings proceedings against an Athlete under Article 2.4 of the Code should also consider in good faith whether or not a Provisional Suspension should be imposed on the Athlete pending determination of the proceedings, in accordance with Article 7.5.1 of the Code. If the Anti-Doping Tribunal decides that one or two Whereabouts Failures have been established to the required standard, but that the third alleged Whereabouts Failure has not, then no anti-doping rule violation shall be found to have occurred. However, if the Athlete then commits one or two further Whereabouts Failures within the relevant 18-month period, new proceedings may be brought based on a combination of the Whereabouts Failure(s) established to the satisfaction of the Tribunal in the previous proceedings (in accordance with Article [3.2.3] of the Code) and the Whereabouts Failure(s) subsequently committed by the Athlete.

11.5.7 A finding that an Athlete has committed an anti-doping rule violation under Article 2.4 of the *Code* will have the following *Consequences* under the *Code*:

- a. imposition of a period of *Ineligibility* in accordance with Article 10.3.3 of the *Code* (first offence) or Article 10.7 of the *Code* (second offence); and
- b. in accordance with Article 10.8 of the *Code*, *Disqualification* (unless fairness requires otherwise) of all competitive results obtained by an individual *Athlete* from the date of the anti-doping rule violation through to the date of commencement of any *Provisional Suspension* or *Ineligibility* period, with all of the resulting consequences, including forfeiture of any medals, points and prizes. For these purposes, the anti-doping rule violation shall be deemed to have occurred on the date of the third Whereabouts Failure found by the tribunal to have occurred.

11.5.7(b) Comment: The impact of any Article 2.4 anti-doping rule violation by an individual Athlete on the results of any team for which that Athlete has played during the relevant period shall be determined in accordance with Article 11 of the Code.

11.6 Whereabouts Responsibilities of *Anti-Doping Organizations*

11.6.1 The International Federation is responsible for the following:

- a. designating *Athletes* for inclusion in the international *Registered Testing Pool*, and revising the list of designated *Athletes* as appropriate from time to time, all in accordance with Article 14.3 of the *Code* and clause [11.2] of this *International Standard*;

- b. notifying each *Athlete* designated for inclusion in the international *Registered Testing Pool*, either directly or through the National Federation or Olympic/Paralympic Committee that has the responsibility to provide notification to the *Athlete*:
 - i. of the fact that he/she has been designated for inclusion in the international *Registered Testing Pool*;
 - ii. of the whereabouts requirements with which he/she must comply as a result of such inclusion; and
 - iii. of the potential *Consequences* if he/she fails to comply with such requirements;
- c. establishing a workable system for the collection, maintenance and sharing of *Athlete Whereabouts Filings* made by *Athletes* in the international *Registered Testing Pool*, preferably using an on-line system (capable of recording who enters information and when) or at least fax, e-mail and/or SMS text messaging, to ensure that:
 - i. the information provided by the *Athlete* is stored safely and securely (ideally in ADAMS or another centralized database system of similar functionality);
 - ii. the information can be accessed by (A) authorized individuals acting on behalf of the International Federation on a need-to-know basis only; (B) *WADA*; and (C) other *ADOs* with authority to *Test* the *Athlete(s)* in question, in accordance with Article 14.3 of the *Code*; and
 - iii. the information is maintained in strict confidence at all times, is used by the International Federation exclusively for the purpose of planning, coordinating or conducting *Testing*, and is destroyed in accordance with relevant confidentiality requirements after it is no longer relevant;

11.6.1(c) Comment: Where an Athlete has been designated for inclusion in both an International and a national Registered Testing Pool, to avoid duplication of effort, and in particular to ensure that such Athlete is only required to provide Athlete Whereabouts Filings to one ADO, the National Anti-Doping Organization shall be deemed to be the Responsible ADO for that Athlete for such purposes, and in those circumstances the Athlete will only be required to provide Athlete Whereabouts Filings to his/her National Anti-Doping Organization. His/her National Anti-Doping Organization will be responsible for notifying the International Federation that it is receiving the Athlete's Athlete Whereabouts Filings and for sharing the relevant information

with the International Federation and other relevant ADOs in accordance with the Code and this International Standard.

- d. conducting results management in accordance with clause [11.5] in respect of:
 - i. any potential Filing Failure on the part of an *Athlete* in the international *Registered Testing Pool* (unless the *Athlete* is also in a national *Registered Testing Pool* and submits whereabouts to the *National Anti-Doping Organization*, in which case it will be the *National Anti-Doping Organization* that conducts results management in respect of any potential Filing Failure by that *Athlete*); and
 - ii. any potential Missed Test in respect of such *Athlete*, where the unsuccessful attempt to *Test* the *Athlete* was made on behalf of the International Federation; and
- e. in the circumstances specified in clause [11.5.5.(a)] of this *International Standard*, bringing proceedings against an *Athlete* under Article 2.4 of the *Code*.

11.6.2 Notwithstanding clause [11.6.1], above:

- a. An International Federation may propose, and a *National Anti-Doping Organization* or *Regional Anti-Doping Organization* may agree to, the delegation of some or all of the responsibilities set out in sub-clauses [11.6.1(b) to (e)], above, to the *National Anti-Doping Organization* or *Regional Anti-Doping Organization*;
- b. An International Federation may delegate some or all of the responsibilities set out in clause [11.6.1], above, to the relevant *Athlete's National Federation*; or
- c. Where *WADA* determines that the International Federation is not discharging some or all of its responsibilities set out in clause [11.6.1], above, *WADA* may delegate some or all of those responsibilities to any other appropriate *ADO*.

11.6.3 The *National Anti-Doping Organization* is responsible for the following:

- a. Designating *Athletes* for inclusion in the national *Registered Testing Pool*, and revising the list of designated *Athletes* as appropriate from time to time, all in accordance with Article 14.3 of the *Code* and clause [11.2] of this *International Standard*;

- b. Notifying each *Athlete* designated for inclusion in the national *Registered Testing Pool*:
 - i. of the fact that he/she has been designated for inclusion in the national *Registered Testing Pool*;
 - ii. of the whereabouts requirements with which he/she must comply as a result of such inclusion; and
 - iii. of the potential *Consequences* if he/she fails to comply with such requirements;
- c. Establishing a workable system for the collection, maintenance and sharing of *Athlete Whereabouts Filings* made by *Athletes* in the national *Registered Testing Pool*, preferably using an on-line system (capable of recording who enters information and when) or at least fax, e-mail and/or SMS text messaging, to ensure that:
 - i. the information is stored safely and securely (ideally in ADAMS or another centralized database system of similar functionality and security);
 - ii. the information can be accessed by (A) authorized individuals acting on behalf of the *National Anti-Doping Organization* on a need-to-know basis only; (B) *WADA*; and (C) other *ADOs* with authority to test the *Athlete(s)* in question, in accordance with Article 14.3 of the *Code*; and
 - iii. the information is maintained in strict confidence at all times, is used by the *National Anti-Doping Organization* exclusively for the purpose of planning, coordinating or conducting *Testing*, and is destroyed in accordance with relevant confidentiality requirements after it is no longer relevant;
- d. Conducting results management in accordance with clause [11.5], above, in respect of:
 - i. any potential Filing Failure on the part of an *Athlete* in the national *Registered Testing Pool*; and
 - ii. any potential Missed Test in respect of such *Athlete*, where the unsuccessful attempt to *Test* the *Athlete* was made on behalf of the *National Anti-Doping Organization*; and

- e. in the circumstances specified in clause [11.5.5(a)] of this *International Standard*, bringing proceedings against an *Athlete* under Article 2.4 of the *Code*.

11.6.4 Notwithstanding clause [11.6.3], above:

- a. A *National Anti-Doping Organization* may delegate some or all of the responsibilities set out in clause [11.6.3], above, to the relevant *Athlete's National Federation* or other appropriate *ADO* with authority over the *Athlete* in question;
- b. Where no appropriate *National Anti-Doping Organization* exists, a *Regional Anti-Doping Organization* may assume the responsibilities of the *National Anti-Doping Organization* set out at clause [11.6.3], above;
- c. Where no appropriate *National Anti-Doping Organization* or *Regional Anti-Doping Organization* exists, the *National Olympic Committee* shall assume the responsibilities of the *National Anti-Doping Organization* set out at clause [11.6.3], above; and
- d. Where *WADA* determines that the responsibilities set out in clause [11.6.3], above, are not being properly exercised, *WADA* may delegate some or all of those responsibilities to any other appropriate *ADO*.

11.6.5 In addition to any specific responsibilities delegated to it in accordance with clause [11.6.2] or clause [11.6.4], above, a *National Federation* must use its best efforts to assist the *Responsible ADO* in collecting *Athlete Whereabouts Filings* from *Athletes* within that *National Federation's* jurisdiction, including (without limitation) making special provision in its rules for that purpose.

11.6.6 Any *ADO* with jurisdiction to *Test* an *Athlete* in a *Registered Testing Pool*, in accordance with Article 15 of the *Code*:

- a. may access that *Athlete's Athlete Whereabouts Filings*, as filed with his/her *International Federation* or *National Anti-Doping Organization*, for use in conducting such *Testing*, in accordance with Article 14.3 of the *Code*, provided that:
 - i. it shall ensure that such information is accessed by authorized individuals acting on behalf of the *ADO* on a need-to-know basis only, is maintained in strict confidence at all times, is used exclusively for the purpose of planning, coordinating or conducting *Testing*, and is destroyed in accordance with relevant confidentiality requirements after it is no longer relevant; and

- ii. it shall have due regard, in accordance with Article 15.2 of the *Code*, to the need to co-ordinate its *Sample* collection activities with the *Sample* collection activities of other *ADOs*, in order to maximize the effectiveness of the combined *Testing* effort and to avoid unnecessary repetitive testing of individual *Athletes*;
- b. it must provide the most current *Athlete Whereabouts Filing* to the *DCO* charged with *Testing* the *Athlete*, and must issue the *DCO* with clear instructions as to how he/she should go about attempting to locate the *Athlete*, in accordance with clause [11.4.4(d)], above;
- c. it must conduct results management in respect of any apparent *Missed Test* arising out of its attempt to *Test* the *Athlete*, in accordance with clause [11.5.3], above;

11.6.6(c) Comment: Where the ADO attempts the Test by agreement with another ADO, that agreement may specify that the requesting ADO will conduct results management with respect to any apparent Missed Test arising out of the attempt.

- d. it must report *Whereabouts Failures* promptly to the *Responsible ADO* for the *Athlete* in question; and
- e. it must cooperate as reasonably requested with the *Responsible ADO* and/or *WADA* in its investigation of any such *Whereabouts Failures* and in its pursuit of any proceedings brought in reliance on such *Whereabouts Failures*, including providing any further information requested and producing witnesses and/or documentation as required to evidence, in any disciplinary or related proceedings, any facts within its knowledge on which the charge is based.

PART THREE: ANNEXES

Annex A - Investigating a possible Failure to Comply

A.1 Objective

To ensure that any matters occurring before, during or after a Sample Collection Session that may lead to a determination of a Failure to Comply are assessed, documented and acted upon.

A.2 Scope

Investigating a possible Failure to Comply begins when the *ADO* or a DCO becomes aware of a possible Failure to Comply and ends when the *ADO* takes appropriate follow-up action based on the outcomes of its investigation.

A.3 Responsibility

A.3.1 The *ADO* is responsible for ensuring that:

- a) An investigation of the possible Failure to Comply is instigated based on all relevant information and documentation.
- b) The Athlete or other party is informed of the Possible Failure to Comply in writing and has the opportunity to respond.
- c) The evaluation process is documented.
- d) The final determination is made available to other *ADOs* in accordance with the *Code*.

A. 3.2 The DCO is responsible for:

- a) Informing the Athlete or other party of the consequences of a possible Failure to Comply
- a) Completing the Athlete's sample collection session where possible.
- b) Providing a detailed written report of any possible Failure to Comply.

A.3.3 Sample Collection Personnel are responsible for:

- a) Informing the Athlete or other party of the consequences of a possible Failure to Comply
- b) Reporting to the DCO any possible Failure to Comply.

A.4 Requirements

A.4.1 Any potential Failure to Comply shall be reported by the DCO and/or followed up by the *ADO* as soon as practicable.

A.4.2 If the *ADO* determines that, in accordance with its regulations, there has been a potential Failure to Comply the *Athlete* or other party shall be promptly notified in writing:

- a) Of the possible consequences;
- b) That a potential Failure to Comply will be investigated by the *ADO* and appropriate follow-up action will be taken.

A.4.3 Any additional necessary information about the potential Failure to Comply shall be obtained from all relevant sources, including the *Athlete* or other party as soon as possible and recorded.

A.4.4 The *ADO* shall establish a system for ensuring that the outcomes of its investigation into the potential Failure to Comply are considered for results management action and, if applicable, for further planning and *Target Testing*.

Annex B - Modifications for *Athletes* with disabilities

B.1 Objective

To ensure that the special needs of *Athletes* with disabilities are considered, where possible, in relation to the provision of a *Sample*, without compromising the integrity of the Sample Collection Session.

B.2 Scope

Determining whether modifications are necessary starts with identification of situations where *Sample* collection involves *Athletes* with disabilities and ends with modifications to *Sample* collection procedures and equipment where necessary and where possible.

B.3 Responsibility

The *ADO* has responsibility for ensuring, when possible, that the DCO has any information and Sample Collection Equipment necessary to conduct a Sample Collection Session with an *Athlete* with a disability.

The DCO has responsibility for *Sample* collection.

B.4 Requirements

B.4.1 All aspects of notification and *Sample* collection for *Athletes* with disabilities shall be carried out in accordance with the standard notification and *Sample* collection procedures unless modifications are necessary due to the *Athlete's* disability.

B.4.2 In planning or arranging *Sample* collection, the *ADO* and DCO shall consider whether there will be any *Sample* collection for *Athletes* with disabilities that may require modifications to the standard procedures for notification or *Sample* collection, including Sample Collection Equipment and facilities.

B.4.3 The DCO shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security or integrity of the *Sample*. All such modifications must be documented.

B.4.4 For *Athletes* with a physical disability, the *Athlete* can be assisted by the *Athlete's* representative or Sample Collection Personnel during the Sample Collection Session where authorised by the *Athlete* and agreed to by the DCO.

B.4.5 For *Athletes* with an intellectual or a sensorial disability, the *ADO* or DCO shall determine whether the *Athlete* must have a representative at the Sample Collection Session and the nature of the assistance that the representative must provide. Additional assistance may be provided by the

representative or Sample Collection Personnel during the Sample Collection Session where authorised by the *Athlete* and agreed to by the DCO.

B.4.6 The DCO can decide that alternative Sample Collection Equipment or facilities will be used when required to enable the *Athlete* to provide the *Sample* as long as the *Sample's* identity, security and integrity will not be affected.

B.4.7 *Athletes* who are using urine collection or drainage systems are required to eliminate existing urine from such systems before providing a urine *Sample* for analysis. Where possible, the existing urine collection or drainage system should be replaced with a new, unused catheter or drainage system.

B.4.8 The DCO will record modifications made to the standard *Sample* collection procedures for *Athletes* with disabilities, including any applicable modifications specified in the above actions.

Annex C - Modifications for *Athletes* who are *Minors*

C.1 Objective

To ensure that the needs of *Athletes* who are minors are met, in relation to the provision of a *Sample*, without compromising the integrity of the *Sample Collection Session*.

C.2 Scope

Determining whether modifications are necessary starts with identification of situations where *Sample* collection involves *Athletes* who are minors and ends with modifications to *Sample* collection procedures where necessary and where possible.

C.3 Responsibility

The *ADO* has responsibility for ensuring, when possible, that the *DCO* has any information necessary to conduct a *Sample Collection Session* with an *Athlete* who is a *Minor*. This includes confirming wherever possible that parental consent clauses are in place when arranging *Testing* at an *Event*. The age under which parental consent is required will be sport specific and form part of the rules and regulations of the *ADO*. The age under which an *Athlete* is considered a *Minor* in a country may also be enshrined in law.

C.4 Requirements

C.4.1 All aspects of notification and *Sample* collection for *Athletes* who are minors shall be carried out in accordance with the standard notification and *Sample* collection procedures unless modifications are necessary due to the *Athlete* being a *Minor*.

C.4.2 In planning or arranging *Sample* collection, the *ADO* and *DCO* shall consider whether there will be any *Sample* collection for *Athletes* who are minors that may require modifications to the standard procedures for notification or *Sample* collection.

C.4.3 The *DCO* and the *ADO* when applicable, shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security or integrity of the *Sample*.

C.4.4 *Athletes* who are minors may be accompanied by a representative throughout the entire *Sample Collection Session*. The representative shall not witness the passing of the *Sample* unless requested to do so by the *Minor*. The objective is to ensure that the *DCO* is observing the *Sample* provision correctly. Even if the *Minor* declines a representative, the *ADO*,

DCO or *Chaperone*, as applicable, shall consider whether a third party ought to be present during notification of the *Athlete*.

C.4.5 For *Athletes* who are minors, the *DCO* shall determine who, in addition to the *Sample Collection Personnel*, may be present during the *Sample Collection Session*, namely a *Minor's* representative to observe the *DCO* when the *Minor* is passing the *Sample* (but not to directly observe the passing of the *Sample* unless requested to do so by the *Minor*) and the *DCO's/Chaperone's* representative, to observe the *DCO/Chaperone* when a *Minor* is passing a urine *Sample*, but without the representative directly observing the passing of the *Sample* unless requested by the *Minor* to do so.

C.4.6 Should a *Minor* decline to have a representative present during the *Sample Collection Session*, this should be clearly documented by the *DCO*. This does not invalidate the test, but must be recorded. If a *Minor* declines the presence of a representative, the representative of the *DCO/Chaperone* must be present.

C.4.7 Should a *Minor* fall within an *ADO's Registered Testing Pool*, the preferred venue for all *Out-of-Competition* testing is a location where the presence of an adult is most likely e.g. training venue.

C.4.8 The *ADO* shall consider the appropriate course of action when no adult is present *at* the home of a *Minor* and accommodate the athlete in locating a representative in order to proceed with doping control. If testing is at a training venue, the *DCO* should ensure another adult is present thereby ensuring the *DCO* is not alone with the *Minor*.

Annex D - Collection of urine *Samples*

D.1 Objective

To collect an *Athlete's* urine *Sample* in a manner that ensures:

- a) Consistency with relevant principles of internationally recognised standard precautions in healthcare settings so that the health and safety of the *Athlete* and *Sample Collection Personnel* are not compromised;
- b) The *Sample* meets the Suitable pH for Analysis, the Suitable Specific Gravity for Analysis and the Suitable Volume of Urine for Analysis. Failure of a sample to meet these requirements in no way invalidates the suitability of the sample for doping control and for analysis. The determination of a *Sample's* suitability for analysis is the decision of the relevant laboratory, in consultation with the *ADO*.
- c) The *Sample* has not been manipulated, substituted, contaminated or otherwise tampered with in any way.
- d) The *Sample* is clearly and accurately identified; and
- e) The *Sample* is securely sealed in a tamper-evident kit.

D.2 Scope

The collection of a urine *Sample* begins with ensuring the *Athlete* is informed of the *Sample* collection requirements and ends with discarding any residual urine remaining at the end of the *Athlete's* *Sample Collection Session*.

D.3 Responsibility

The *DCO* has the responsibility for ensuring that each *Sample* is properly collected, identified and sealed.

The *DCO/Chaperone* has the responsibility for directly witnessing the passing of the urine *Sample*.

D.4 Requirements

D.4.1 The *DCO* shall ensure that the *Athlete* is informed of the requirements of the *Sample* collection, including any modifications as provided for in Annex B – Modifications for *Athletes* with disabilities.

D.4.2 The *DCO* shall ensure that the *Athlete* is offered a choice of appropriate equipment for collecting the *Sample*. If the nature of an *Athlete's* disability requires that he/she must use additional or other equipment as provided for in Annex B – Modifications for *Athletes* with disabilities, the *DCO* shall inspect that equipment to ensure that it will not affect the identity or integrity of the *Sample*.

D.4.3 The DCO shall instruct the *Athlete* to select a collection vessel.

D.4.4 When the *Athlete* selects a collection vessel and for selection of all other Sample Collection Equipment that directly holds the urine *Sample*, the DCO will instruct the *Athlete* to check that all seals on the selected equipment are intact and the equipment has not been tampered with. If the *Athlete* is not satisfied with the selected equipment, he/she may select another. If the *Athlete* is not satisfied with any of the equipment available for the selection, this shall be recorded by the DCO.

If the DCO does not agree with the *Athlete's* opinion that all of the equipment available for the selection is unsatisfactory, the DCO shall instruct the *Athlete* to proceed with the Sample Collection Session. If the DCO agrees with the reasons put forward by the *Athlete* that all of the equipment available for the selection is unsatisfactory, the DCO shall terminate the collection of the *Athlete's* urine *Sample* and this shall be recorded by the DCO.

D.4.5 The *Athlete* shall retain control of the collection vessel and any *Sample* provided until the *Sample* is sealed, unless assistance is required by an *Athlete's* disability as provided for in Annex B – Modifications for *Athletes* with disabilities. Additional assistance may be provided in exceptional circumstances to any *Athlete* by the representative or Sample Collection Personnel during the Sample Collection Session where authorised by the *Athlete* and agreed to by the DCO.

D.4.6 The DCO/Chaperone who witnesses the passing of the *Sample* shall be of the same gender as the *Athlete* providing the *Sample*.

D.4.7 The DCO/Chaperone shall ensure the *Athlete* thoroughly washes his or her hands prior to the provision of the sample.

D.4.8 The DCO/Chaperone and *Athlete* shall proceed to an area of privacy to collect a *Sample*.

D.4.9 The DCO/Chaperone shall ensure an unobstructed view of the *Sample* leaving the *Athlete's* body until such time the sample is securely sealed and the DCO/Chaperone shall record the witnessing in writing. In order to ensure a clear and unobstructed view of the passing of the sample, the DCO/Chaperone shall instruct the athlete to remove or adjust clothing which restricts the clear view of sample provision as required.

D.4.10 The DCO shall verify, in full view of the *Athlete*, that the Suitable Volume of Urine for Analysis has been provided.

D.4.11 Where the volume of urine is insufficient, the DCO shall conduct a partial *Sample* collection procedure as prescribed in Annex F – Urine *Samples* – insufficient volume.

D.4.12 The DCO shall instruct the *Athlete* to select a *Sample* collection kit containing A and B bottles in accordance with C.4.4.

D.4.13 Once a *Sample* collection kit has been selected, the DCO and the *Athlete* shall check that all code numbers match and that this code number is recorded accurately by the DCO.

If the *Athlete* or DCO finds that the numbers are not the same, the DCO shall instruct the *Athlete* to choose another kit in accordance with C.4.4. The DCO shall record the matter.

D.4.14 The *Athlete* shall pour the minimum Suitable Volume of Urine for Analysis into the B bottle (to a minimum of 40mL), and then pour the remainder of the urine into the A bottle (to a minimum of 60mL). If more than the minimum Suitable Volume of Urine for Analysis has been provided, the DCO shall ensure that the *Athlete* fills the A bottle to capacity as per the recommendation of the equipment manufacturer. Should there still be urine remaining, the DCO shall ensure that the *Athlete* fills the B bottle to capacity as per the recommendation of the equipment manufacturer. The *Athlete* shall ensure that a small amount of urine is left in the collection vessel.

D.4.15 Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with F.4.13. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum.

D.4.16 The *Athlete* shall seal the bottles as directed by the DCO. The DCO shall check, in full view of the *Athlete*, that the bottles have been properly sealed.

D.4.17 The DCO shall test the residual urine in the collection vessel to determine if the *Sample* is likely to meet the Suitable pH for Analysis and Suitable Specific Gravity for Analysis. If the requirements are not met, then the DCO shall follow Annex G - Urine Samples that do not meet requirements for Suitable pH for Analysis or Suitable Specific Gravity for Analysis

D.4.18 The DCO shall ensure any residual urine that will not be sent for analysis is discarded in full view of the *Athlete*.

Annex E - Collection of blood *Samples*

E.1 Objective

To collect an *Athlete's* blood *Sample* in a manner that ensures:

- a) The health and safety of the *Athlete* and Sample Collection Personnel are not compromised;
- b) The *Sample* is of a quality and quantity that meets the relevant analytical guidelines;
- c) The *Sample* has not been manipulated, substituted, contaminated or otherwise tampered with in any way;
- d) The *Sample* is clearly and accurately identified; and
- e) The *Sample* is securely sealed.

E.2 Scope

The collection of a blood *Sample* begins with ensuring the *Athlete* is informed of the *Sample* collection requirements and ends with properly storing the *Sample* prior to dispatch for analysis at the *WADA* accredited laboratory or as otherwise approved by *WADA*.

E.3 Responsibility

E.3.1 The DCO has the responsibility for ensuring that:

- a) Each *Sample* is properly collected, identified and sealed; and
- b) All *Samples* have been properly stored and dispatched in accordance with the relevant analytical guidelines.

E.3.2 The Blood Collection Officer has the responsibility for collecting the blood *Sample*, answering related questions during the provision of the *Sample*, and proper disposal of used blood sampling equipment not required for completing the Sample Collection Session.

E.4 Requirements

E.4.1 Procedures involving blood shall be consistent with the local standards and regulatory requirements regarding precautions in health care settings.

E.4.2 Blood Sample Collection Equipment shall consist of either a single sample tube for blood profiling purposes or both an A and a B sample tube for blood analysis.

E.4.3 The DCO shall ensure that the *Athlete* is informed of the requirements of the *Sample* collection, including any modifications as provided for in Annex B – Modifications for *Athletes* with disabilities.

E.4.4 The DCO/Chaperone and *Athlete* shall proceed to the area where the *Sample* will be provided.

E.4.5 The DCO shall ensure the *Athlete* is offered comfortable conditions including being in a relaxed position for at least 10 minutes prior to providing a *Sample*.

E.4.6 The DCO shall instruct the *Athlete* to select the *Sample* collection kit/s required for collecting the *Sample* and to check that the selected equipment has not been tampered with and the seals are intact. If the *Athlete* is not satisfied with a selected kit, he/she may select another. If the *Athlete* is not satisfied with any kits and no others are available, this shall be recorded by the DCO.

If the DCO does not agree with the *Athlete's* opinion that all of the available kits are unsatisfactory, the DCO shall instruct the *Athlete* to proceed with the *Sample* Collection Session.

If the DCO agrees with the reasons put forward by the *Athlete* that all available kits are unsatisfactory, the DCO shall terminate the collection of the *Athlete's* blood *Sample* and this shall be recorded by the DCO.

E.4.7 When a *Sample* collection kit has been selected, the DCO and the *Athlete* shall check that all code numbers match and that this code number is recorded accurately by the DCO.

If the *Athlete* or DCO finds that the numbers are not the same, the DCO shall instruct the *Athlete* to choose another kit in accordance with E.4.7. The DCO shall record the matter.

E.4.8 The Blood Collection Officer shall clean the skin with a sterile disinfectant wipe or swab in a location unlikely to adversely affect the *Athlete* or his/her performance and, if required, apply a tourniquet. The Blood Collection Officer shall take the blood *Sample* from a superficial vein into the final collection container. The tourniquet, if applied, shall be immediately removed after the venipuncture has been made.

E.4.9 The amount of blood removed shall be adequate to satisfy the relevant analytical requirements for the *Sample* analysis to be performed.

E.4.10 If the amount of blood that can be removed from the *Athlete* at the first attempt is insufficient, the Blood Collection Officer shall repeat the procedure. Maximum attempts shall be three. Should all attempts fail, then the Blood Collection Officer shall inform the DCO. The DCO shall terminate the collection of the blood *Sample* and record this and the reasons for terminating the collection.

E.4.11 The Blood Collection Officer shall apply a dressing to the puncture site/s.

E.4.12 The Blood Collection Officer shall dispose of used blood sampling equipment not required for completing the Sample Collection Session in accordance with the required local standards for handling blood.

E.4.13 If the *Sample* requires further processing, such as centrifugation or on-site separation of serum, the *Athlete* shall remain to observe the *Sample* until final sealing in secure, tamper evident kit.

E.4.14 The Athlete shall seal his/her *Sample* into the *Sample* collection kit as directed by the DCO. In full view of the *Athlete*, the DCO shall check that the sealing is satisfactory.

E.4.15 The sealed *Sample* shall be stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station to the *WADA* accredited laboratory or as otherwise approved by *WADA*.

Annex F - Urine *Samples* - Insufficient volume

F.1 Objective

To ensure that where a Suitable Volume of Urine for Analysis is not provided, appropriate procedures are followed.

F.2 Scope

The procedure begins with informing the *Athlete* that the *Sample* is not of Suitable Volume of Urine for Analysis and ends with the provision of a *Sample* of sufficient volume.

F.3 Responsibility

The DCO has the responsibility for declaring the *Sample* volume insufficient and for collecting the additional *Sample/s* to obtain a combined *Sample* of sufficient volume.

F.4 Requirements

F.4.1 If the *Sample* collected is of insufficient volume, the DCO shall inform the *Athlete* that a further *Sample* shall be collected to meet the Suitable Volume of Urine for Analysis requirements.

F.4.2 The DCO shall instruct the *Athlete* to select partial Sample Collection Equipment in accordance with F.4.4.

F.4.3 The DCO shall then instruct the *Athlete* to open the relevant equipment, pour the insufficient *Sample* into the container and seal it as directed by the DCO. The DCO shall check, in full view of the *Athlete*, that the container has been properly sealed.

F.4.4 The DCO and the *Athlete* shall check that the equipment code number, and the volume and identity of the insufficient *Sample* are recorded accurately by the DCO. Either the *Athlete* or the DCO shall retain control of the sealed partial *Sample*.

F.4.5 While waiting to provide an additional *Sample*, the *Athlete* shall remain under continuous observation and be given the opportunity to hydrate.

F.4.6 When the *Athlete* is able to provide an additional *Sample*, the procedures for collection of the *Sample* shall be repeated as prescribed in Annex D – Collection of urine *Samples* until a sufficient volume of urine will be provided by combining the initial and additional *Sample/s*.

F.4.7 When the DCO is satisfied that the requirements for Suitable Volume of Urine for Analysis have been met, the DCO and *Athlete* shall check the integrity of the seal(s) on the partial *Sample* container(s) containing the previously provided insufficient *Sample(s)*. Any irregularity with the integrity of the seal/s will be recorded by the DCO and investigated according to Annex A – Investigating a Possible Failure to Comply.

F.4.8 The DCO shall then direct the *Athlete* to break the seal/s and combine the *Samples*, ensuring that additional *Samples* are added sequentially to the first entire *Sample* collected until, as a minimum, the requirement for Suitable Volume of Urine for Analysis is met.

F.4.9 The DCO and *Athlete* shall then continue with D.4.12 or D.4.14 as appropriate.

F.4.10 The DCO shall check the residual urine to ensure that it meets the requirements for Suitable pH for Analysis and the Suitable Specific Gravity for Analysis.

F.4.11 Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with D.4.14. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum.

Annex G - Urine *Samples* that do not meet requirements for Suitable pH for Analysis or Suitable Specific Gravity for Analysis

G.1 Objective

To ensure that when the urine *Sample* does not meet the requirements for Suitable pH for Analysis or Suitable Specific Gravity for Analysis, appropriate procedures are followed.

G.2 Scope

The procedure begins with the DCO informing the *Athlete* that a further *Sample* is required and ends with the collection of a *Sample* that meets pH and specific gravity requirements, or appropriate follow-up action by the *ADO* if required.

G.3 Responsibility

The *ADO* is responsible for establishing procedures to ensure that a suitable sample is collected, and that criteria for postponing a Sample Collection Session in exceptional circumstances are in place. If the additional *Sample/s* collected do not meet this *International Standard's* requirements for analysis, and the DCO determines that for logistical reasons it is impossible to continue with the Sample Collection Session in accordance with the criteria set by the *ADO*, the *ADO* is responsible for scheduling a new Sample Collection Session for the *Athlete* and, if required, taking subsequent appropriate action.

The DCO is responsible for collecting additional *Samples* until a suitable sample is obtained or until it is determined that a new Sample Collection Session must be scheduled.

G.4 Requirements

G.4.1 The DCO shall determine that the requirements for Suitable pH for Analysis or Suitable Specific Gravity for Analysis have not been met.

G.4.2 The DCO shall inform the *Athlete* that he/she is required to provide a further *Sample*.

G.4.3 While waiting to provide additional *Samples*, the *Athlete* shall remain under continuous observation.

G.4.4 The *Athlete* shall be encouraged not to hydrate excessively, since this may delay the production of a suitable *Sample*.

G.4.5 When the *Athlete* is able to provide an additional *Sample*, the DCO shall repeat the procedures for collection of the *Sample* as prescribed in Annex D – Collection of urine *Samples*.

G.4.6 The DCO is entitled to continue to collect additional *Samples* until the requirements for Suitable pH for Analysis or Suitable Specific Gravity for Analysis are met, or until the DCO determines that there are exceptional circumstances which mean that for logistical reasons it is impossible to continue with the Sample Collection Session. Such exceptional circumstances shall be documented accordingly by the DCO.

G.4.7 The DCO shall record that the *Samples* collected belong to a single *Athlete* and the order in which the *Samples* were provided.

G.4.8 The DCO shall then continue with D.4.16.

G.4.9 If it is determined that none of the *Athlete's Samples* meet the requirements for Suitable pH for Analysis or Suitable Specific Gravity for Analysis and the DCO determines that for logistical reasons it is impossible to continue with the Sample Collection session, the *ADO* is responsible for scheduling a new Sample Collection Session for the *Athlete*.

G.4.10 If the subsequent Target Testing Sample Collection Session also results in *Samples* that do not meet the requirements for Suitable pH for Analysis or Suitable Specific Gravity for Analysis, the *ADO* shall investigate a possible *Anti-Doping Rule Violation*.

G.4.11 The DCO shall send to the laboratory for analysis all *Samples* which were collected, irrespective of whether or not they meet the requirements for Suitable pH for Analysis or Suitable Specific Gravity for Analysis. Failure of a sample to meet these requirements in no way invalidates the suitability of the sample for *doping control* and for analysis. The determination of a *Sample's* suitability for analysis is the decision of the relevant laboratory in conjunction with the *ADO*.

G.4.12 The relevant laboratory shall, in conjunction with the *ADO*, determine which samples shall be analyzed in accordance with the ISL.

Annex H - *Sample* Collection Personnel Requirements

H.1 Objective

To ensure that Sample Collection Personnel have no conflict of interest and have adequate qualifications and experience to conduct *Sample* collection sessions.

H.2 Scope

Sample Collection Personnel requirements start with the development of the necessary competencies for Sample Collection Personnel and end with the provision of identifiable accreditation.

H.3 Responsibility

The *ADO* has the responsibility for all activities defined in this Annex H.

H.4 Requirements - Qualifications and Training

H.4.1 The *ADO* shall determine the necessary competence and qualification requirements for the positions of Doping Control Officer, Chaperone and Blood Collection Officer. The *ADO* shall develop duty statements for all Sample Collection Personnel that outline their respective responsibilities. As a minimum:

- a) Sample Collection Personnel shall be of adult age.
- b) Blood Collection Officers shall have adequate qualifications and practical skills required to perform blood collection from a vein.

H.4.2 The *ADO* shall ensure that Sample Collection Personnel that have an interest in the outcome of the collection or testing of a *Sample* from any *Athlete* who might provide a *Sample* at a session are not appointed to that Sample Collection Session. Sample Collection Personnel are deemed to have an interest in the collection of a *Sample* if they are:

- a) Involvement in the planning of the sport for which *Testing* is being conducted; or
- b) Related to, or involved in the personal affairs of any *Athlete* who might provide a *Sample* at that session.

H.4.3 The *ADO* shall establish a system that ensures that Sample Collection Personnel are adequately trained to carry out their duties.

H.4.3.1 The training program for Blood Collection Officers as a minimum shall include studies of all relevant requirements of the *Testing*

process and familiarization of relevant standard precautions in healthcare settings.

H.4.3.2 The training program for Doping Control Officers as a minimum shall include:

- a) Comprehensive theoretical training in different types of *Testing* activities relevant to the Doping Control Officer position;
- b) Observation of all doping control activities related to requirements in this standard, preferably on site;
- c) The satisfactory performance of one complete *Sample* collection on site under observation by a qualified Doping Control Officer or similar. The requirement related to actual passing of *Sample* shall not be included in the on-site observations.

H.4.3.3 The training program for Chaperones shall include:

- a) Studies of all relevant requirements of the testing process.

H.4.4 The *ADO* shall maintain records of education, training, skills and experience.

H.5 Requirements - Accreditation, re-accreditation and delegation

H.5.1 The *ADO* shall establish a system for accrediting and re-accrediting Sample Collection Personnel.

H.5.2 The *ADO* shall ensure that Sample Collection Personnel have completed the training program and are familiar with the requirements in this testing standard before granting accreditation.

H.5.3 Accreditation shall only be valid for a maximum of two years. Sample Collection Personnel shall be required to repeat a full training program if they have not participated in *Sample* collection activities within the year prior to re-accreditation.

H.5.4 Only Sample Collection Personnel that have an accreditation recognised by the *ADO* shall be authorised by the *ADO* to conduct *Sample* collection activities on behalf of the *ADO*.

H.5.5 Doping Control Officers may personally perform any activities involved in the Sample Collection Session, with the exception of blood collection unless particularly qualified, or they may direct a Chaperone to

perform specified activities that fall within the scope of the Chaperone's authorised duties.