

~~The World Anti-Doping Code~~
WORLD ANTI-DOPING CODE

INTERNATIONAL STANDARD
FOR

TESTING AND
INVESTIGATIONS

~~January 2012~~

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International Standard for Testing and Investigations

The World Anti-Doping Code International Standard for Testing and Investigations (ISTI) is a mandatory International Standard developed as part of the World Anti-Doping Program.

The International Standard for Testing (IST) was first adopted in 2003 and ~~became effective in 2004. Further revisions~~ to came into effect 1 January 2004. A revised IST was approved in 2008, and came into effect 1 January 2009; a further revised IST was approved in 2011 and came into effect 1 January 2012. The enclosed ISTI, renamed the International Standard for Testing ~~were approved by the~~ World Anti-Doping Agency Executive Committee on 10 May 2008. The enclosed and Investigations (ISTI), incorporates ~~additional~~ revisions to the ~~International Standard for Testing that were~~ ISTI and was approved ~~by~~ at the World ~~Anti-Conference on~~ Doping Agency in Sport in Johannesburg by the WADA Executive Committee on

2015 ISTI -20 February 2014

~~17 September 2011. The revised International Standard for Testing~~ 15 November 2013. It will come into effect on 1 January 2015.

~~Standard for Testing is effective as of 1 January 2012~~

The official text of the International Standard for Testing and Investigations 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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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.~~

~~Version 3.0 of the 2003 *International Standard for Testing* was approved by the WADA Executive Committee on June 7th 2003. In concert with revisions to the 2003 *World Anti-Doping Code*, a consultation process was initiated with *Signatories* in order to revise the *International Standard for Testing*. Version 1.0 of the revised *International Standard for Testing* was circulated to *Signatories* and governments for review and comments in August 2006. Versions 2.0 (2007), 3.0 (2007) and 4.0 (2008) were also drafted based on the comments and proposals received from *Signatories* and governments during this consultation process. The *International Standard for Testing* (January 2009) was approved by the WADA Executive Committee in May 2008. The *International Standard for Testing* (January 2012) was approved by the WADA Executive Committee in September 2011.~~

~~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 and Investigations is a mandatory International Standard developed as part of the World Anti-Doping Program.](#)

[The first purpose of the International Standard for Testing and Investigations](#) is to plan for [intelligent and](#) effective *Testing*, both *In-Competition* and *Out-of-Competition*, and to maintain the integrity and identity of the *Samples* collected, from the point the *Athlete* is notified of the test to the point the *Samples* are ~~transported~~[delivered](#) to the laboratory for analysis. ~~The~~ [To that end, the International Standard for Testing includes and Investigations \(including its Annexes\) establishes mandatory standards for test distribution planning \(including collection and use of Athlete whereabouts information\), notification of Athletes, preparing for and conducting Sample collection, security/post-test administration of Samples and documentation, and transport of Samples to laboratories for analysis.](#)

~~In addition, Section 11.0 of the International Standard for Testing sets out mandatory standards to be implemented by IFs and NADOs (as well as 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 such requirements three times in an 18-month period 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 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 second purpose of the International Standard for Testing and Investigations is to establish mandatory standards for the efficient and effective gathering, assessment and use of anti-doping intelligence and for the efficient and effective conduct of investigations into possible anti-doping rule violations.

Like the *Code*, the International Standard for Testing and Investigations has been drafted giving due consideration to the principles of respect for human rights, proportionality, and other applicable legal principles. It shall be interpreted and applied in that light.

Terms used in this *International Standard* that are defined terms from the *Code* are written in italics. ~~Additional definitions specific to the~~ Terms that are defined in this *International Standard* for *Testing* are underlined.

2.0 Code ~~Provisions~~ provisions

The following articles in the ~~2009~~2015 *Code* are directly relevant to the International Standard for Testing and Investigations:

Code Article 2 Anti-Doping Rule Violations

~~2.3~~The following constitute anti-doping rule violations:

2.1 Presence of a *Prohibited Substance* or its *Metabolites* or *Markers* in an *Athlete's Sample*.

...

2.2 Use or Attempted Use by an Athlete of a *Prohibited Substance* or a *Prohibited Method*.

...

2.3 Evading, Refusing or ~~failing~~Failing to Submit to Sample Collection.

Evading Sample collection, or without compelling justification refusing or failing 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~~ For example, it would be an anti-doping rule violation of "evading Sample collection" if it were established that an Athlete was ~~hiding from~~ deliberately avoiding 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"~~ "evading" or "refusing" 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. 2.4 Whereabouts Failures.

*[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 Organization 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 or Article 2.5.]~~ Any combination of three missed tests and/or filing failures, as defined in the *International Standard for Testing and Investigations*, within a twelve-month period by an Athlete in a Registered Testing Pool.*

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

*[Comment to Article 2.5: ~~This Article prohibits conduct~~ Conduct which subverts the *Doping Control* process but which would not otherwise be included in the definition of *Prohibited Methods*. Tampering shall include, without limitation, intentionally interfering or attempting to interfere with a Doping Control official, providing fraudulent information to an*

[Anti-Doping Organization](#) or intimidating or attempting to intimidate a potential witness.

[Comment to Article 2.5: For example, [this Article would prohibit](#) altering identification numbers on a Doping Control form during Testing, breaking the ~~Bottle~~[bottle](#) at the time of B Sample analysis ~~or providing fraudulent information to an Anti-Doping Organization,~~ [or altering a Sample by the addition of a foreign substance.](#)

Offensive conduct towards a Doping Control official or other Person involved in Doping Control which does not otherwise constitute Tampering shall be addressed in the disciplinary rules of sport organizations.]

2.6 Possession of a Prohibited Substance or a Prohibited Method.

...

2.7 Trafficking or Attempted Trafficking in any Prohibited Substance or Prohibited Method.

2.8 Administration or Attempted ~~administration~~[Administration](#) to any Athlete In-Competition of any Prohibited ~~Method~~[Substance](#) or Prohibited ~~Substance~~[Method](#), or ~~administration~~[Administration](#) or Attempted ~~administration~~[Administration](#) to any Athlete Out-of-Competition of any Prohibited ~~Method~~[Substance](#) or any Prohibited ~~Substance~~[Method](#) that is prohibited Out-of-Competition, ~~or assisting.~~

2.9 Complicity.

Assisting, encouraging, aiding, abetting, conspiring, covering up or any other type of intentional complicity involving an anti-doping rule violation ~~or any.~~ Attempted anti-doping rule violation or violation of Article 10.12.1 by another Person.

2.10 Prohibited Association.

Association by an Athlete or other Person subject to the authority of an Anti-Doping Organization in a professional or sport-related capacity with any Athlete Support Person who:

2.10.1 If subject to the authority of an Anti-Doping Organization, is serving a period of Ineligibility; or

~~[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.]~~

~~2.10.2 If not subject to the authority of an *Anti-Doping Organization* and where *Ineligibility* has not been addressed in a results management process pursuant to the *Code*, has been convicted or found in a criminal, disciplinary or professional proceeding to have engaged in conduct which would have constituted a violation of anti-doping rules if *Code-compliant* rules had been applicable to such *Person*. The disqualifying status of such *Person* shall be in force for the longer of six years from the criminal, professional or disciplinary decision or the duration of the criminal, disciplinary or professional sanction imposed; or~~

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* or other anti-doping rule violation 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.~~

~~2.10.3 Is serving as a front or intermediary for an individual described in Article 2.10.1 or 2.10.2.~~

Code Article 5 Testing and Investigations

~~**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 Purpose of Testing and Investigations.

Testing and investigations shall only be undertaken for anti-doping purposes.

5.1.1 Testing shall be undertaken to obtain analytical evidence as to the Athlete's compliance (or non-compliance) with the strict Code prohibition on the presence/Use of a Prohibited Substance or Prohibited Method.

5.1.2 Investigations shall be undertaken:

(a) in relation to Atypical Findings and Adverse Passport Findings, in accordance with Articles 7.4 and 7.5 respectively, gathering intelligence or evidence (including, in particular, analytical evidence) in order to determine whether an anti-doping rule violation has occurred under Article 2.1 and/or Article 2.2; and

(b) in relation to other indications of potential anti-doping rule violations, in accordance with Articles 7.6 and 7.7, gathering intelligence or evidence (including, in particular, non-analytical evidence) in order to determine whether an anti-doping rule violation has occurred under any of Articles 2.2 to 2.10.

5.2 Scope of Testing.

Any Athlete may be required to provide a Sample at any time and at any place by any Anti-Doping Organization with Testing authority over him or her. Subject to the jurisdictional limitations for Event Testing set out in Article 5.3:

5.2.1 Each National Anti-Doping Organization shall have In-Competition and Out-of-Competition Testing authority over all Athletes who are nationals, residents, license-holders or members of sport organizations of that country or who are present in that National Anti-Doping Organization's country.

~~5.1.1 Plan and conduct an effective number of~~

~~5.2.2 Each International Federation shall have 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 who are present in that National Anti-Doping Organization's country or who are nationals, residents, license holders or members of sports organizations of that 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.~~ Testing authority over all Athletes who are subject to its rules, including those who participate in International Events or who participate in Events governed by the rules of that International Federation, or who are members or license-holders of that International Federation or its member National Federations, or their members.

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

5.2.3 Each Major Event Organization, including the International Olympic Committee and the International Paralympic Committee, shall have In-Competition Testing authority for its Events and Out-of-Competition Testing authority over all Athletes entered in one of its future Events or who have otherwise been made subject to the Testing authority of the Major Event Organization for a future Event.

~~5.1.3 Make Target Testing a priority.~~

5.2.4 WADA shall have In-Competition and Out-of-Competition Testing authority as set out in Article 20.

5.2.5 ~~5.1.4 Conduct Testing on~~ Anti-Doping Organizations may test any Athlete over whom they have Testing authority who has not retired, including Athletes serving a period of ~~Ineligibility or a Provisional Suspension.~~

5.2.6 If an International Federation or Major Event Organization delegates or contracts any part of Testing to a National Anti-Doping Organization (directly or through a National Federation), that National Anti-Doping Organization may collect additional Samples or direct the laboratory to perform additional types of analysis at the National Anti-Doping Organization's expense. If additional Samples are collected or additional types of analysis are performed, the International Federation or Major Event Organization shall be notified.

~~[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 (e.g., 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.).~~ 5.2: Additional authority to conduct Testing may be conferred by means of bilateral or multilateral agreements among Signatories. Unless the Athlete has identified a 60-minute Testing window during the following-described time period, or otherwise consented to Testing during that period, before Testing an Athlete between the hours of 11:00 p.m. and 6:00 a.m., an Anti-Doping Organization should have serious and specific suspicion that the Athlete may be engaged in doping. A challenge to whether an Anti-Doping Organization had sufficient suspicion for Testing during this time period shall not be a defense to an anti-doping rule violation based on such test or attempted test.]

5.3 Event Testing.

5.3.1 Except as otherwise provided below, only a single organization should be responsible for initiating and directing Testing at Event Venues during an Event Period. At International Events, the collection of Samples shall be initiated and directed by the international organization which is the ruling body for the Event (e.g., the International Olympic Committee for the Olympic Games, the International Federation for a World Championship, and the Pan-American Sports Organization for the Pan American Games). At National Events, the collection of Samples shall be initiated and directed by the National Anti-Doping Organization of that country. At the request of the ruling body for an Event, any Testing during the Event Period outside of the Event Venues shall be coordinated with that ruling body.

[Comment to Article 5.3.1: Some ruling bodies for International Events may be doing their own Testing outside of the Event Venues during the Event Period and thus want to coordinate that Testing with National Anti-Doping Organization Testing.]

5.3.2 If an Anti-Doping Organization which would otherwise have Testing authority but is not responsible for initiating and directing Testing at an Event desires to conduct Testing of Athletes at the Event Venues during the Event Period, the Anti-Doping Organization shall first confer with the ruling body of the Event to obtain permission to conduct and coordinate such Testing. If the Anti-Doping Organization is not satisfied with the response from the ruling body of the Event, the Anti-Doping Organization may, in accordance with procedures published by WADA, ask WADA for

permission to conduct Testing and to determine how to coordinate such Testing. WADA shall not grant approval for such Testing before consulting with and informing the ruling body for the Event. WADA's decision shall be final and not subject to appeal. Unless otherwise provided in the authorization to conduct Testing, such tests shall be considered Out-of-Competition tests. Results management for any such test shall be the responsibility of the Anti-Doping Organization initiating the test unless provided otherwise in the rules of the ruling body of the Event.

[Comment to Article 5.3.2: 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.]

~~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.]~~

5.4 Test Distribution Planning.

~~5.4.1~~ ~~5.2 Standards for Testing~~ WADA, in consultation with International Federations and other Anti-Doping Organizations with Testing jurisdiction shall conduct such Testing in conformity with, will adopt a Technical Document under the International Standard for Testing and Investigations that establishes by means of a risk assessment which Prohibited Substances and/or Prohibited Methods are most likely to be abused in particular sports and sport disciplines.

~~5.3 Retired Athletes Returning to Competition~~

~~5.4.2~~ ~~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. Starting with that risk assessment, each Anti-Doping Organization with Testing authority shall develop and implement~~

an effective, intelligent and proportionate test distribution plan that prioritizes appropriately between disciplines, categories of Athletes, types of Testing, types of Samples collected, and types of Sample analysis, all in compliance with the requirements of the International Standard for Testing and Investigations. Each Anti-Doping Organization shall provide WADA upon request with a copy of its current test distribution plan.

5.4.3 Where reasonably feasible, Testing shall be coordinated through ADAMS or another system approved by WADA in order to maximize the effectiveness of the combined Testing effort and to avoid unnecessary repetitive Testing.

5.5 Testing Requirements.

All Testing shall be conducted in conformity with the International Standard for Testing and Investigations.

5.6 Athlete Whereabouts Information.

Athletes who have been included in a Registered Testing Pool by their International Federation and/or National Anti-Doping Organization shall provide whereabouts information in the manner specified in the International Standard for Testing and Investigations. The International Federations and National Anti-Doping Organizations shall coordinate the identification of such Athletes and the collection of their whereabouts information. Each International Federation and National Anti-Doping Organization shall make available through ADAMS or another system approved by WADA, a list which identifies those Athletes included in its Registered Testing Pool either by name or by clearly defined, specific criteria. Athletes shall be notified before they are included in a Registered Testing Pool and when they are removed from that pool. The whereabouts information they provide while in the Registered Testing Pool will be accessible, through ADAMS or another system approved by WADA, to WADA and to other Anti-Doping Organizations having authority to test the Athlete as provided in Article 5.2. This information shall be maintained in strict confidence at all times; shall be used exclusively for purposes of planning, coordinating or conducting Doping Control, providing information relevant to the Athlete Biological Passport or other analytical results, to support an investigation into a potential anti-doping rule violation, or to support proceedings alleging an anti-doping rule violation; and shall be destroyed after

it is no longer relevant for these purposes in accordance with the International Standard for the Protection of Privacy and Personal Information.

...

5.8 Investigations and Intelligence Gathering.

Anti-Doping Organizations shall ensure they are able to do each of the following, as applicable and in accordance with the International Standard for Testing and Investigations:

5.8.1 Obtain, assess and process anti-doping intelligence from all available sources to inform the development of an effective, intelligent and proportionate test distribution plan, to plan Target Testing, and/or to form the basis of an investigation into a possible anti-doping rule violation(s); and

5.8.2 Investigate Atypical Findings and Adverse Passport Findings, in accordance with Articles 7.4 and 7.5 respectively; and

5.8.3 Investigate any other analytical or non-analytical information or intelligence that indicates a possible anti-doping rule violation(s), in accordance with Articles 7.6 and 7.7, in order either to rule out the possible violation or to develop evidence that would support the initiation of an anti-doping rule violation proceeding.

Code Article 6 Analysis of Samples

6.2 Purpose of Analysis of Samples.

Samples shall be analyzed to detect Prohibited Substances and Prohibited Methods identified on the Prohibited List and other substances as may be directed by WADA pursuant to Article 4.5, or to assist an Anti-Doping Organization in profiling relevant parameters in an Athlete's urine, blood or other matrix, including DNA or genomic profiling, or for any other legitimate anti-doping purpose. Samples may be collected and stored for future analysis.

[Comment to Article 6.2: For example, relevant profile information could be used to direct Target Testing or to support an anti-doping rule violation proceeding under Article 2.2, or both.]

...

6.4 Standards for *Sample* Analysis and Reporting.

Laboratories shall analyze *Samples* and report results in conformity with the International Standard for Laboratories. To ensure effective *Testing*, the Technical Document referenced at Article 5.4.1 will establish risk assessment-based *Sample* analysis menus appropriate for particular sports and sport disciplines, and laboratories shall analyze *Samples* in conformity with those menus, except as follows:

6.4.1 *Anti-Doping Organizations* may request that laboratories analyze their *Samples* using more extensive menus than those described in the Technical Document.

6.4.2 *Anti-Doping Organizations* may request that laboratories analyze their *Samples* using less extensive menus than those described in the Technical Document only if they have satisfied *WADA* that, because of the particular circumstances of their country or sport, as set out in their test distribution plan, less extensive analysis would be appropriate.

6.4.3 As provided in the International Standard for Laboratories, laboratories at their own initiative and expense may analyze *Samples* for *Prohibited Substances* or *Prohibited Methods* not included on the *Sample* analysis menu described in the Technical Document or specified by the *Testing* authority. Results from any such analysis shall be reported and have the same validity and consequence as any other analytical result.

[Comment to Article 6.4: The objective of this Article is to extend the principle of "intelligent *Testing*" to the *Sample* analysis menu so as to most effectively and efficiently detect doping. It is recognized that the resources available to fight doping are limited and that increasing the *Sample* analysis menu may, in some sports and countries, reduce the number of *Samples* which can be analyzed.]

6.5 Further Analysis of *Samples*.

Any *Sample* may be subject to further analysis by the *Anti-Doping Organization* responsible for results management at any time before both the A and B *Sample* analytical results (or A *Sample* result where B *Sample* analysis has been waived or will not be performed) have been

communicated by the *Anti-Doping Organization* to the *Athlete* as the asserted basis for an Article 2.1 anti-doping rule violation.

Samples may be stored and subjected to further analyses for the purpose of Article 6.2 at any time exclusively at the direction of the *Anti-Doping Organization* that initiated and directed *Sample* collection or *WADA*. (Any *Sample* storage or further analysis initiated by *WADA* shall be at *WADA*'s expense.) Further analysis of *Samples* shall conform with the requirements of the *International Standard for Laboratories* and the *International Standard for Testing and Investigations*.

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*.~~
7.1 Responsibility for Conducting Results Management.

Except as provided in Articles 7.1.1 and 7.1.2 below, results management and hearings shall be the responsibility of, and shall be governed by, the procedural rules of the *Anti-Doping Organization* that initiated and directed *Sample* collection (or, if no *Sample* collection is involved, the *Anti-Doping Organization* which first provides notice to an *Athlete* or other *Person* of an asserted anti-doping rule violation and then diligently pursues that anti-doping rule violation). ...

~~**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.~~ 7.1.2 Results management in relation to a potential Whereabouts Failure (a filing failure or a missed test) shall be administered by the International Federation or the National Anti-Doping Organization with whom the Athlete in question files his or her whereabouts information, as provided in the International Standard for Testing and Investigations. The Anti-Doping Organization that determines a filing failure or a missed test shall submit that information to WADA through ADAMS or another system approved by WADA, where it will be made available to other relevant Anti-Doping Organizations.

...

~~7.3~~ 7.4 Review of Atypical Findings.

As provided in the International ~~Standards~~ Standard for Laboratories, 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~~ TUE 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 and Investigations or International Standard for Laboratories that caused the *Atypical Finding*. If that review does not reveal an applicable ~~therapeutic use exemption~~ TUE 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.

~~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:~~

~~[Comment to Article 7.4: The "required investigation" described in this Article will depend on the situation. For example, if it has previously determined that an *Athlete* has a naturally elevated testosterone/epitestosterone ratio, confirmation that an *Atypical Finding* is consistent with that prior ratio is a sufficient investigation.]~~

~~(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 organization 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 organization 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*.~~

7.5 Review of *Atypical Passport Findings* and **Adverse Passport Findings**.

~~[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 organization consistent with its rules.]~~

Review of *Atypical Passport Findings* and *Adverse Passport Findings* shall take place as provided in the International Standard for Testing and Investigations and International Standard for Laboratories. At such time as the *Anti-Doping Organization* is satisfied that an anti-doping rule violation has occurred, it shall promptly give the *Athlete* notice, in the manner set out in its rules, of the anti-doping rule violated, and the basis of the violation. Other *Anti-Doping Organizations* shall be notified as provided in Article 14.1.2.

7.6 Review of Whereabouts Failures.

Review of potential filing failures and missed tests shall take place as provided in the International Standard for Testing and Investigations. At such time as the International Federation or National Anti-Doping Organization (as applicable) is satisfied that an Article 2.4 anti-doping rule violation has occurred, it shall promptly give the Athlete notice, in the manner set out in its rules, that it is asserting a violation of Article 2.4 and the basis of that assertion. Other Anti-Doping Organizations shall be notified as provided in Article 14.1.2.

~~7.4~~7.7 Review of Other Anti-Doping Rule Violations Not Covered by Articles 7.1 ~~7.3~~ 7.6.

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 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.]~~ Articles 7.1, 7.6 and 7.7: For example, an International Federation typically would notify the Athlete through the Athlete's National Federation.]

Code Article 10 Sanctions on Individuals

~~10.3.3~~10.3.2 For violations of Article ~~2.4 (Whereabouts Filing Failures and/or Missed Tests)~~,2.4, the period of *Ineligibility* shall be ~~at two years, subject to reduction down to a minimum of one (1) year and at a maximum two (2) years based~~year, depending on the *Athlete's* degree of ~~fault~~.Fault. The flexibility between two years and one year of *Ineligibility* in this Article is not available to *Athletes* where a pattern of last-minute whereabouts changes or other conduct raises a serious suspicion that the *Athlete* was trying to avoid being available for *Testing*.

...

10.6 Elimination, Reduction, or Suspension of Period of *Ineligibility* or other *Consequences* for Reasons Other than *Fault*.

10.6.1 *Substantial Assistance* in Discovering or Establishing Anti-Doping Rule Violations.

10.6.1.1 An *Anti-Doping Organization* with results management responsibility for an anti-doping rule violation may, prior to a final appellate decision under Article 13 or the expiration of the time to appeal, suspend a part of the period of *Ineligibility* imposed in an individual case where the *Athlete* or other *Person* has provided *Substantial Assistance* to an *Anti-Doping Organization*, criminal authority or professional disciplinary body which results in: (i) the *Anti-Doping Organization* discovering or bringing forward an anti-doping rule violation by another *Person*, or (ii) which results in a criminal or disciplinary body discovering or bringing forward a criminal offense or the breach of professional rules committed by another *Person* and the information provided by the *Person* providing *Substantial Assistance* is made available to the *Anti-Doping Organization* with results management responsibility. ...

Code Article 13 Appeals

13.3 Failure to Render a Timely Decision by an *Anti-Doping Organization*.

Where, in a particular case, an *Anti-Doping Organization* fails to render a decision with respect to whether an anti-doping rule violation was

committed within a reasonable deadline set by WADA, WADA may elect to appeal directly to CAS as if the Anti-Doping Organization had rendered a decision finding no anti-doping rule violation. If the CAS hearing panel determines that an anti-doping rule violation was committed and that WADA acted reasonably in electing to appeal directly to CAS, then WADA's costs and attorney fees in prosecuting the appeal shall be reimbursed to WADA by the Anti-Doping Organization.

[Comment to Article 13.3: Given the different circumstances of each anti-doping rule violation investigation and results management process, it is not feasible to establish a fixed time period for an Anti-Doping Organization to render a decision before WADA may intervene by appealing directly to CAS. Before taking such action, however, WADA will consult with the Anti-Doping Organization and give the Anti-Doping Organization an opportunity to explain why it has not yet rendered a decision. Nothing in this Article prohibits an International Federation from also having rules which authorize it to assume jurisdiction for matters in which the results management performed by one of its National Federations has been inappropriately delayed.]

Code Article 14 Confidentiality and Reporting

14.1 Information Concerning Adverse Analytical Findings, Atypical Findings, and other Asserted Anti-Doping Rule Violations.

14.1.1 Notice of Anti-Doping Rule Violations to Athletes and other Persons.

The form and manner of notice of an asserted anti-doping rule violation shall be as provided in the rules of the Anti-Doping Organization with results management responsibility.

14.1.2 Notice of Anti-Doping Rule Violations to National Anti-Doping Organizations, International Federations and WADA.

The Anti-Doping Organization with results management responsibility shall also notify the Athlete's National Anti-Doping Organization, International Federation and WADA of the assertion of an anti-doping rule violation simultaneously with the notice to the Athlete or other Person.

...

14.1.4 Status Reports.

Except with respect to investigations which have not resulted in notice of an anti-doping rule violation pursuant to Article 14.1.1, the *Anti-Doping Organizations* referenced in Article 14.1.2 shall be regularly updated on the status and findings of any review or proceedings conducted pursuant to Article 7, 8 or 13 and shall be provided with a prompt written reasoned explanation or decision explaining the resolution of the matter.

...

Code Article 20 Additional Roles and Responsibilities of Signatories

20.1 Roles and Responsibilities of the International Olympic Committee.

...

20.1.7 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether Athlete Support Personnel or other Persons may have been involved in each case of doping.

...

20.2 Roles and Responsibilities of the International Paralympic Committee.

...

20.2.7 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether Athlete Support Personnel or other Persons may have been involved in each case of doping.

...

20.3 Roles and Responsibilities of International Federations.

...

20.3.6 To require National Federations to report any information suggesting or relating to an anti-doping rule violation to their National Anti-Doping Organization and International Federation and to cooperate with investigations conducted by any Anti-Doping Organization with authority to conduct the investigation. ...

20.3.10 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether Athlete Support Personnel or other Persons may have been involved in each case of doping, to ensure proper enforcement of Consequences, and to conduct an automatic investigation of Athlete Support Personnel in the case of any anti-doping rule violation involving a Minor or Athlete Support

Person who has provided support to more than one Athlete found to have committed an anti-doping rule violation. ...

20.3.14 To cooperate fully with WADA in connection with investigations conducted by WADA pursuant to Article 20.7.10.

...

20.4 Roles and Responsibilities of National Olympic Committees and National Paralympic Committees.

...

20.4.4 To require National Federations to report any information suggesting or relating to an anti-doping rule violation to their National Anti-Doping Organization and International Federation and to cooperate with investigations conducted by any Anti-Doping Organization with authority to conduct the investigation. ...

20.4.10 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether Athlete Support Personnel or other Persons may have been involved in each case of doping. ...

20.5 Roles and Responsibilities of National Anti-Doping Organizations.

...

20.5.4 To encourage reciprocal Testing between National Anti-Doping Organizations. ...

20.5.7 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether Athlete Support Personnel or other Persons may have been involved in each case of doping and to ensure proper enforcement of Consequences.

20.5.9 To conduct an automatic investigation of Athlete Support Personnel within its jurisdiction in the case of any anti-doping rule violation by a Minor and to conduct an automatic investigation of any Athlete Support Person who has provided support to more than one Athlete found to have committed an anti-doping rule violation.

20.5.10 To cooperate fully with WADA in connection with investigations conducted by WADA pursuant to Article 20.7.10. ...

20.6 Roles and Responsibilities of Major Event Organizations.

...

20.6.5 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether Athlete Support Personnel or other Persons may have been involved in each case of doping.

20.7 Roles and Responsibilities of WADA.

...

20.7.7 To design and conduct an effective Independent Observer Program and other types of Event advisory programs.

20.7.8 To conduct, in exceptional circumstances and at the direction of the WADA Director General, Doping Controls on its own initiative or as requested by other Anti-Doping Organizations, and to cooperate with relevant national and international organizations and agencies, including but not limited to, facilitating inquiries and investigations.

[Comment to Article 20.7.8: WADA is not a Testing agency, but it reserves the right, in exceptional circumstances, to conduct its own tests where problems have been brought to the attention of the relevant Anti-Doping Organization and have not been satisfactorily addressed.]

~~[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.]~~

20.7.9 To approve, in consultation with International Federations, National Anti-Doping Organizations, and Major Event Organizations, defined Testing and Sample analysis programs.

~~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.~~

~~20.7.10 To initiate its own investigations of anti-doping rule violations and other activities that may facilitate doping.~~

~~Code Article 14 Confidentiality and Reporting:~~ 21 Additional Roles and Responsibilities of Athletes and other Persons

21.1 Roles and Responsibilities of Athletes.

~~...~~

~~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 these 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.~~

~~21.1.2 To be available for Sample collection at all times.~~

~~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 who 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.~~

~~[Comment to Article 21.1.2: With due regard to an Athlete's human rights and privacy, legitimate anti-doping considerations sometimes require Sample collection late at night or early in the morning. For example, it is known that some Athletes Use low doses of EPO during these hours so that it will be undetectable in the morning.]~~

~~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 make 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.~~

~~21.1.6 To cooperate with *Anti-Doping Organizations* investigating anti-doping rule violations.~~

~~[Comment to Article 21.1.6 Failure to cooperate is not an anti-doping rule violation under the Code, but it may be the basis for disciplinary action under a stakeholder's rules.]~~

~~**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 International Olympic Committee for the Olympic Games, the International Federation for a World Championship, and Pan American Sports Organization 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.~~

21.2 Roles and Responsibilities of Athlete Support Personnel.

~~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 Athletes 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.]~~

21.2.2 To cooperate with the Athlete Testing program.

~~☺~~

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 International Olympic Committee or International Paralympic Committee 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~~

21.2.5 To cooperate with Anti-Doping Organizations investigating anti-doping rule violations.

~~[Comment to Article 15.2: Additional authority to conduct Testing may be authorized by means of bilateral or multilateral agreements among Signatories and governments.]~~
21.2.5 Failure to cooperate is not an anti-doping rule violation under the Code, but it may be the basis for disciplinary action under a stakeholder's rules.]

...

~~15.4.1 Mutual Recognition.~~

~~Subject to the right to appeal provided in Article 13, 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.~~

21.3 Roles and Responsibilities of Regional Anti-Doping Organizations.

~~[Comment to Article 15.4.1: There has in the past been some confusion in the interpretation of this Article with regard to therapeutic use exemptions. 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 therapeutic use exemptions 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.~~

21.3.4 To encourage reciprocal Testing between National Anti-Doping Organizations and Regional Anti-Doping Organizations.

...

~~[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~~
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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.}

Code Article 23 Acceptance, Compliance and Modification

23.3 Implementation of Anti-Doping Programs.

Signatories shall devote sufficient resources in order to implement anti-doping programs in all areas that are compliant with the Code and the International Standards.

...

~~3.0 Terms and definitions,~~ 3.0 Definitions and interpretation

3.1 Defined terms from the ~~2009 Code~~ 2015 Code that are used in the International Standard for Testing and Investigations:

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 WADA-accredited laboratory or other WADA-approved ~~Testing entity~~ laboratory that, consistent with the International Standard for Laboratories and related Technical Documents, identifies in a *Sample* 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*.

Adverse Passport Finding: A report identified as an Adverse Passport Finding as described in the applicable International Standards.

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~~ competes in sport at the international level (as defined by each International Federation), or the national level (as defined by each *National Anti-Doping Organization*, ~~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~~. An Anti-Doping Organization has

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

[Comment: This definition makes it clear that all ~~international- and national-caliber athletes~~ *International- and National-Level Athletes* are subject to the anti-doping rules of the *Code*, with the precise definitions of international- and national- level sport to be set forth in the anti-doping rules of the International Federations and National Anti-Doping Organizations, respectively. ~~At the national level, anti-doping rules adopted pursuant to the Code shall apply, at a minimum, to all persons on national teams and all persons qualified to compete in any national championship in any sport. That does not mean, however, that all such Athletes must be included in a National Anti-Doping Organization's Registered Testing Pool.~~ The definition also allows each National Anti-Doping Organization, if it chooses to do so, to expand its anti-doping program beyond ~~national-caliber athletes~~ *International- or National-Level Athletes* to competitors at lower levels of ~~competition.~~ Competition or to individuals who engage in fitness activities but do not compete at all. Thus, a *National Anti-Doping Organization* could, for example, elect to test recreational-level competitors but not require advance *TUEs*. But an anti-doping rule violation involving an *Adverse Analytical Finding or Tampering*, results in all of the *Consequences* provided for in the *Code* (with the exception of Article 14.3.2). The decision on

whether Consequences apply to recreational-level Athletes who engage in fitness activities but never compete is left to the National Anti-Doping Organization. In the same manner, a Major Event Organization holding an Event only for masters-level competitors could elect to test the competitors but not analyze Samples for the full menu of Prohibited Substances. Competitors at all levels of ~~competition~~ Competition should receive the benefit of anti-doping information and education.]

Athlete Biological Passport: The program and methods of gathering and collating data as described in the International Standard for Testing and Investigations and International Standard for Laboratories.

Atypical Finding: A report from a WADA-accredited laboratory or other WADA-approved ~~entity~~laboratory 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 athleticsport contest. For example, a basketball game or the finals of the Olympic 100-meter ~~dash~~race in athletics. For stage races and other athleticsport contests where prizes are awarded on a daily or other interim basis the distinction between a *Competition* and an *Event* will be as provided in the rules of the applicable International Federation.

~~**Consequences of Anti-Doping Rule Violations:** 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~~TUEs, 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).

Event Venues: Those venues so designated by the ruling body for the Event.

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

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

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 Rule Violations above.~~

International Event: An *Event* or Competition 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~~who compete in sport at the international level, as defined by each International Federation, consistent with the International Standard for Testing and Investigations.

~~**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.~~

[Comment: Consistent with the International Standard for Testing and Investigations, the International Federation is free to determine the criteria it will use to classify Athletes as International-Level Athletes, e.g., by ranking, by participation in particular International Events, by type of license, etc.]

However, it must publish those criteria in clear and concise form, so that Athletes are able to ascertain quickly and easily when they will become classified as International-Level Athletes. For example, if the criteria include participation in certain International Events, then the International Federation must publish a list of those International Events.]

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.~~ eighteen years.

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 Event: A sport Event or Competition involving International- or National-Level Athletes that is not an International Event.

National-Level Athlete: Athletes who compete in sport at the national level, as defined by each National Anti-Doping Organization, consistent with the International Standard for Testing and Investigations.

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~~ period 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~~ highest-priority Athletes established separately at the international level by ~~each~~ International Standard for Testing, January 2012 ~~32 of 167~~ 2015
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~~Federation~~Federations and at the national level by National Anti-Doping OrganizationOrganizations, who are subject to ~~both~~focused *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~~National Anti-Doping Organization's test distribution plan and therefore are required to provide whereabouts information as provided in Article 5.6 and the International Standard for Testing and Investigations.

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

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

~~**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.~~ Those entities signing the Code and agreeing to comply with the Code, as provided in Article 23.

~~**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.~~

Substantial Assistance: For purposes of Article 10.6.1, a Person providing Substantial Assistance must: (1) fully disclose in a signed written statement all information he or she possesses in relation to anti-doping rule violations, and (2) fully cooperate with the investigation and adjudication of any case related to that information, including, for example, presenting testimony at a hearing if requested to do so by an Anti-Doping Organization or hearing panel. Further, the information provided must be credible and must comprise an important part of any case which is initiated or, if no case is initiated, must have provided a sufficient basis on which a case could have been brought.

~~**Target Testing:** Selection of specific Athletes for Testing where specific Athletes or groups of Athletes are selected on a non-random basis for Testing at a specified time.~~ based on criteria set forth in the International Standard for Testing and Investigations.

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 specific to the International Standard for Testing and Investigations:

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

Chain of Custody: The sequence of individuals or organizations who have ~~the~~ responsibility for [the custody of](#) a *Sample* from the provision of the *Sample* until the *Sample* has been ~~received~~[delivered to the laboratory](#) for analysis.

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

Code Article 2.4 Whereabouts Requirements: [The whereabouts requirements set out in Annex I of the International Standard for Testing and Investigations, which apply to Athletes who are included in the Registered Testing Pool of an International Federation or a National Anti-Doping Organization.](#)

Doping Control Officer (or DCO): An official who has been trained and authorized by the ~~ADO with delegated responsibility for the on-site management of a Sample Collection Session~~[Sample Collection Authority to carry out the responsibilities given to DCOs in the International Standard for Testing and Investigations.](#)

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

Failure to Comply: A term used to describe anti-doping rule violations under Code Articles ~~2.3, 2.5~~2.3 and ~~2.8.~~/or 2.5.

Filing Failure: A failure by the *Athlete* (or by a third party to whom the *Athlete* has delegated ~~this task, in accordance with Clause 11.3.6 or Clause 11.5.4~~the task) to make an accurate and complete Whereabouts Filing in accordance with Clause 11.3 or Clause 11.5.6. **International Federation (IF):** ~~An international non-governmental organization administering one or more sports at world level.~~that enables the *Athlete* to be located for *Testing* at the times and locations set out in the Whereabouts Filing or to update that Whereabouts Filing where necessary to ensure that it remains accurate and complete, all in accordance with Article I.3 of the International Standard for Testing and Investigations.

In-Competition Date: As defined in Article I.3.3.

Missed Test: A failure by the *Athlete* to be available for *Testing* at the location and time specified in the 60-minute time slot identified in his/her Whereabouts Filing for the day in question, in accordance with ~~Clause 11.4 or Clause 11.5.6.~~Article I.4 of the International Standard for Testing and Investigations.

~~**National Federation:** A national non-governmental organization administering one or more sports at a national level.~~**No Advance Notice Testing:** Sample collection that takes place with no advance warning to the *Athlete* and where the *Athlete* is continuously chaperoned from the moment of notification through *Sample* provision.

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).~~

~~**Responsible ADO:** The *Anti-Doping Organization* with responsibility for a particular whereabouts matter, as specified in Clause 11.5.~~

Results Management Authority: The organization that is responsible, in accordance with Code Article 7.1, for the management of the results of *Testing* (or other evidence of a potential anti-doping rule violation) and hearings, whether (1) an *Anti-Doping Organization* (for example, the International Olympic Committee or other *Major Event Organization*, WADA, an International Federation, or a *National Anti-Doping Organization*); or (2) another

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organization acting pursuant to the authority of and in accordance with the rules of the *Anti-Doping Organization* (for example, a National Federation that is a member of an International Federation). In respect of Whereabouts Failures, the Results Management Authority shall be as set out in Article I.5.1.

Sample Collection Authority: ~~The *Anti-Doping Organization* or independent agency or subcontractor with responsibility for all processes related to *Sample Collection*, as specified in Clauses 5.0, 6.0, 7.0, 8.0 and 9.0.~~ The organisation that is responsible for the collection of *Samples* in compliance with the requirements of the International Standard for Testing and Investigations, whether (1) the *Testing Authority* itself; or (2) another organization (for example, a third party contractor) to whom the *Testing Authority* has delegated or sub-contracted such responsibility (provided that the *Testing Authority* always remains ultimately responsible under the *Code* for compliance with the requirements of the International Standard for Testing and Investigations relating to collection of *Samples*).

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

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

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

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

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 90 mL ~~for full or part~~menu analysis, ~~—~~, whether the laboratory will be analysing the *Sample* for all or only some *Prohibited Substances* or *Prohibited Methods*.

Team Activity: ~~As defined in Clause 11.5.3.~~ **Activities:** Sporting activities carried out by *Athletes* on a collective basis as part of a team (e.g., training, travelling, tactical sessions) or under the supervision of the team (e.g., treatment by a team doctor).

Test Distribution Plan: ~~As defined in Clause 4.2.1.~~ A document written by an *Anti-Doping Organization* that plans *Testing* on *Athletes* over whom it has *Testing Authority*, in accordance with the requirements of Article 4 of the International Standard for Testing and Investigations.

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

Unsuccessful Attempt Report: A detailed report of an unsuccessful *Testing attempt*, ~~as more fully described in Clause 11.6.3(a)~~attempt to collect a *Sample* from an *Athlete* in a *Registered Testing Pool*, setting out the date of the attempt, the location visited, the exact arrival and departure times at the location, the steps 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 attempt.

Whereabouts Failure: A Filing Failure or a Missed Test.

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 (or optionally, in the case of a Team Sport, in accordance with Clause 11.5)~~Article I.3 of the International Standard for Testing and Investigations.

3.3 ~~Defined terms specific to the International Standard for Laboratories~~

~~**Testing Authority(ies):** The *Anti-Doping Organization* that has authorized a particular test. For example, the *International Olympic Committee, World Anti-Doping Agency, International Federation, National Sport Organization, National Anti-Doping Organization, National Olympic Committee, Major Event Organization,* or other authority defined by the Code responsible for authorizing *Sample Testing* either *In-Competition* or *Out-of-Competition*.~~**3.4**

~~—— Interpretation of the International Standard for Testing:~~

~~3.4.1~~3.3.1 Unless otherwise specified, references ~~in this document~~below to ~~Clauses~~Articles are references to ~~clauses~~Articles of ~~this~~the International Standard for Testing and Investigations.

~~3.4.2~~3.3.2 The comments annotating various provisions of the International Standard for Testing ~~are included to assist in the understanding and interpretation of~~and Investigations shall be used to interpret the *International Standard*.

3.3.3 The Annexes to the International Standard for Testing and Investigations have the same mandatory status as the rest of the International Standard for Testing and Investigations.

3.3.4 The official text of the International Standard for Testing and Investigations 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.

PART TWO: STANDARDS FOR TESTING

4.0 Planning effective Testing

~~4.1~~ **Objective** 4.1 Objective

~~The objective is the development of Test Distribution Plans that are specific to the relevant sport (in the case of an IF) or the relevant nation (in the case of a NADO). The common objective in each case is to plan and implement an effective distribution of Sample collections both In-Competition and Out-of-Competition in each nation, 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), across the different countries within its jurisdiction (in the case of an IF) and across the different disciplines within a sport under its jurisdiction (in the case of an IF 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 Comment: Any other ADO that (like a NADO) has Testing jurisdiction over a significant number of different and otherwise unrelated sports (e.g., a Major Event Organizer) shall be treated under this International Standard in the same manner as a NADO in relation to test distribution planning and allocation of Testing resources across those different sports. (See Clauses 4.3.1, 4.3.6 and 4.4.4).]

~~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.~~

4.1.1 Code Article 5.4 requires each Anti-Doping Organization with Testing Authority to plan and implement intelligent Testing that is proportionate to the risk of doping among Athletes under its jurisdiction, and that is effective to detect and to deter such practices. The objective of this Section 4.0 of the International Standard for Testing and Investigations is to set out the steps that are necessary to produce a Test Distribution Plan that satisfies this requirement. This includes establishing the overall pool of Athletes within the Anti-Doping Organization's anti-doping program, and assessment of which Prohibited Substances and Prohibited Methods are most likely to be abused in the sport(s)/sports discipline(s) in question, followed by appropriate prioritization between sport(s) and/or sport disciplines, between categories of Athletes, between types of Testing, between types of Samples collected, and between types of Sample analysis.

~~4.2.44.1.2~~ The ~~ADO~~Anti-Doping Organization shall ensure that Athlete Support Personnel and/or any other personPersons with a conflict of interest shallare not be-involved in ~~test distribution planning~~Test Distribution Planning for their Athletes or in the process of selection of Athletes for Testing.

~~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 an IF, in addition to conducting a risk evaluation for each discipline within its sport, it should also take into account the strength of the national anti-doping programme within each nation under its jurisdiction, so as to ensure proper coordination and efficiency in the use of Testing resources. In the case of a NADO, in addition to conducting its own risk evaluations for each relevant sport/discipline under its jurisdiction, it may also take into account the relative risks of doping as between the different sports under its jurisdiction, as well as any national anti-doping policy requirements and priorities that it may follow as between those different sports.~~

4.1.3 The Anti-Doping Organization shall document its Test Distribution Plan and shall file that Test Distribution Plan with WADA (a) when seeking WADA's approval pursuant to Code Article 6.4.2 to analyse Samples using a less extensive menu than that set out in the Technical Document referenced at Code Article 5.4.1, in accordance with Article 4.7.1 of this International Standard; and (b) where requested by WADA, as part of the process of demonstrating the Anti-Doping Organization's satisfaction of the requirements of Code Article 5.4.

4.1.4 The main activities are therefore risk assessment and prioritization, including information and intelligence gathering, monitoring and follow-up; developing a Test Distribution Plan based on that risk assessment and prioritization; filing and discussing that Test Distribution Plan with WADA (where applicable); monitoring, evaluating, reviewing, **modifying and updating** that Test Distribution Plan as necessary in light of changing circumstances; and **implementing the Test Distribution Plan.**

4.2 Risk assessment

4.2.1 As set out in Code Article 5.4, the starting point of the Test Distribution Plan must be a considered assessment, in good faith, of which Prohibited Substances and/or Prohibited Methods are most likely to be abused in the sport(s) and sport discipline(s) in question. This assessment should take into account (at a minimum) the following information:

- a) The physical and other demands of the relevant sport(s) (and/or discipline(s) within the sport(s)), considering in particular the physiological requirements of the sport(s)/sport discipline(s);
- b) The possible performance-enhancing effects that doping may elicit in such sport(s)/sport discipline(s);
- c) The rewards available at the different levels of the sport(s)/sport discipline(s) and/or other potential incentives for doping;
- d) The history of doping in the sport(s)/sport discipline(s);

[Comment to 4.2.1(d): Unless there has been a full and effective Testing program in a sport, encompassing both In- and Out-of-Competition Testing, a history of no or few Adverse Analytical Findings says little if anything about the risk of doping in that sport.]

- e) Available research on doping trends (e.g., peer-reviewed articles);
- f) Information received/intelligence developed on possible doping practices in the sport (e.g., Athlete testimony; information from criminal investigations; and/or other intelligence developed in accordance with WADA's Guidelines for Coordinating Investigations and Sharing Anti-Doping Information and Evidence)) in accordance with Section 11.0 of the International Standard for Testing and Investigations; and
- g) The outcomes of previous test distribution planning cycles.

4.2.2 In developing its Test Distribution Plan, the Anti-Doping Organization shall be bound by the Technical Document referenced in Code Article 5.4.1 and 6.4. Additionally, the Anti-Doping Organization shall conduct its own risk assessment. It should take into account in good faith any risk assessment for the sport or discipline in question carried out by another Anti-Doping Organization with overlapping Testing Authority. However, an International Federation is not bound by a National Anti-Doping Organization's assessment of the risks of doping in a particular sport or discipline, and a National

Anti-Doping Organization is not bound by an International Federation's assessment of the risks of doping in a particular sport or discipline.

4.2.3 The Anti-Doping Organization shall also consider the potential doping patterns in its sport, nation or Event (as applicable). This shall include assessing matters such as:

- a) which Prohibited Substances and/or Prohibited Methods an Athlete would consider most likely to enhance performance in the relevant sport(s) or discipline(s);
- b) at what points in his/her career in the sport an Athlete would be most likely to consider obtaining such an illicit advantage; and
- c) given the structure of the season for the sport/discipline in question (including standard Competition schedules and training patterns), at what time(s) during the year an Athlete would be most likely to undertake doping practices.

4.2.4 All of the remaining steps to be taken in developing a Test Distribution Plan (as set out in the rest of this Section 4.0, below) are to be based on the risk assessment set out in this Article 4.2. The Anti-Doping Organization must be able to demonstrate to WADA's satisfaction that it has made a proper assessment of the relevant risks and has adopted an appropriate Test Distribution Plan based on the results of that assessment.

4.2.5 Test Distribution Planning is intended to be an ongoing process, not a static one. The Anti-Doping Organization shall review the Test Distribution Plan regularly and shall adapt it as necessary to reflect new information gathered and intelligence developed by the Anti-Doping Organization, and to take into account Testing conducted by other Anti-Doping Organizations. However, any revision to the risk assessment set out in the Technical Document referenced in Code Article 5.4.1 would have to be agreed by WADA.

4.3 Establishing the overall pool of Athletes

4.3.1 Code Article 5.2 gives different Anti-Doping Organizations Testing Authority over potentially very large pools of sportsmen and women. However, in recognition of the finite resources of Anti-Doping Organizations, the Code definition of "Athlete" allows National Anti-Doping Organizations to limit the number of sportsmen and women who will be subject to their national anti-doping programs (in particular, Testing) to those who compete at the highest national levels (i.e., National-Level Athletes, as defined by the National Anti-Doping Organization). It also allows International Federations to focus their anti-doping programs (including Testing) on those who compete regularly

at the international level (i.e., *International-Level Athletes*, as defined by the International Federation).

[Comment to 4.3.1: Nothing prevents an International Federation from Testing an Athlete under its jurisdiction who is not an International-Level Athlete, if it sees fit, e.g., where he/she is competing in an International Event. Furthermore, as set out in the Code definition of "Athlete", a National Anti-Doping Organization may decide to extend its anti-doping program (including Testing) to sportsmen and women who compete below national level. However, the main focus of an International Federation's Test Distribution Plan should be International-Level Athletes, and the main focus of a National Anti-Doping Organization's Test Distribution Plan should be National-Level Athletes and above.]

4.3.2 Therefore, once the risk assessment described in Article 4.2 is completed, the next step is to establish the overall pool of Athletes who are in principle going to be subject to Testing by the Anti-Doping Organization in question, i.e. (for an International Federation) fixing an appropriate definition of *International-Level Athlete*, or (for a National Anti-Doping Organization) fixing an appropriate definition of *National-Level Athlete*:

- a) An International Federation is free to determine the criteria it will use to classify Athletes as *International-Level Athletes*, e.g., by ranking, by participation in particular *International Events*, etc. It should make that determination in good faith, in accordance with its responsibility to protect the integrity of the sport at the international level (the showcase of the sport to the public), by fixing a definition that encompasses all those who compete regularly at international level and/or who compete at a standard at which world records may be set.

[Comment to 4.3.2(a): The Code requires each International Federation to publish in clear and concise form the criteria it uses to classify Athletes as *International-Level Athletes*, so that it is clear to everyone where the line is drawn and how particular Athletes are to be classified. For example, if the criteria include competing in certain *International Events*, then the International Federation must publish a list of those *International Events*.]

- b) Similarly, a National Anti-Doping Organization is free to determine the criteria it will use to classify Athletes as *National-Level Athletes*. Again, it should make that determination in good faith, in accordance with its responsibility to protect the integrity of the sport at the national level (the source of national pride in different sports, and the stepping stone to international Competition, including representation of the nation in *International Events* or

Competitions). Consequently, the definition should normally encompass all those who compete at the highest levels of national *Competition* in the sport in question (i.e., in national championships or other *Events* that determine or count towards determining who are the best in the country in the category/discipline in question, and/or who should be selected to represent the country in *International Events* or *Competitions*). It should also include those nationals of its country who generally or often compete at international level and/or in *International Events* or *Competitions* (rather than at national level) but who are not classified as *International-Level Athletes* by their International Federation.

4.4 Prioritizing between sports and/or disciplines

4.4.1 Next, the *Anti-Doping Organization* should consider whether there are any factors warranting allocating *Testing* resources to one sport or discipline or nation (as applicable) under its jurisdiction in priority to others. This means:

- a) In the case of an International Federation, assessing the relative risks of doping as between the different disciplines and nations within its sport.
- b) In the case of a National Anti-Doping Organization, assessing the relative risks of doping as between the different sports under its jurisdiction, as well as any national anti-doping policy imperatives that may lead it to prioritize certain sports over others.

~~[4.3.1 Comment:—It is understood and expected that different NADOs will have different~~
Comment to 4.4.1(b): National Anti-Doping Organizations will have varying national policy requirements and priorities. For example, one NADO National Anti-Doping Organization 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 other 'national' sports. These national-policy imperatives are a relevant consideration in the NADO's test distribution planning National Anti-Doping Organization's Test Distribution Planning, alongside 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 National Anti-Doping Organization deciding, in its Test Distribution Plan for a particular period, (1) not to allocate any Testing to one or more some sports within its jurisdiction but not others; 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)). Such decisions should be reviewed regularly: See Clause 4.3.11.]

(2) to prioritize certain sports over others due not to a greater risk of doping in those sports but to a greater national interest in ensuring the integrity of those sports.]

~~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 the Competition calendar; 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 in respect of the sport/discipline; the evaluation outcomes of previous test distribution planning cycles; (in the case of IFs) the strength of the national anti-doping programme from nation to nation; and (in the case of NADOs) the national anti-doping policy imperatives referenced in 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 urine and blood Testing and between Out-of-Competition Testing and In-Competition Testing. The allocation of resources between urine and blood Testing and between Out-of-Competition Testing and In-Competition Testing shall take into account the relative risks of doping in such periods for each sport/discipline under evaluation.~~

~~4.3.5—Each IF 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 Out-of-Competition, Out-of-Competition Testing shall be made a priority, and a substantial portion of Testing shall be conducted Out-of-Competition. However, some material amount of In-Competition Testing shall still take place. For those sports and/or disciplines where there is a low risk of doping Out-of-Competition, 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 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 the national anti-doping policy imperatives referenced in Clause 4.3.1. Having identified in this way the "priority" sports to which its Testing resources are to be allocated, the NADO 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 shall ensure that Out-of-Competition Testing is made a priority, and that a substantial portion of annual Testing is conducted Out-of-Competition. However, some material amount of In-Competition Testing shall still take place. For those sports and/or disciplines where the NADO assesses that there is a low risk of doping Out-of-Competition, 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 order to develop a Test Distribution Plan that takes into account in a coordinated manner the Testing activities of other relevant ADOs:~~

- ~~a) 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 Code Article 15.1.~~
- ~~b) ADOs shall, without any unnecessary delay, share information on its Testing with other relevant ADOs, ideally via ADAMS or another centralized database of similar functionality and security, in accordance with Code Article 14.5.~~

~~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 as between urine and blood Sample collection, based on an analysis of the risks of doping for the particular sport/discipline in question, as explained in Clause 4.3.4.~~

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

- ~~c) In the case of a Major Event Organization, assessing the relative risks of doping as between the different sports and/or disciplines involved in its Event.~~

~~4.4.2 Another factor relevant to the allocation of Testing resources within the Test Distribution Plan will be the number of Athletes involved at the relevant level in the sport(s) and/or discipline(s) and/or nation(s) in question. Where the risk of doping is assessed to be equal as between two different sports or~~

disciplines or nations, more resources should be devoted to the sport or discipline or nation involving the larger number of *Athletes*.

4.5 Prioritizing between different *Athletes*

4.5.1 Once the overall pool of *Athletes* has been established (see Article 4.3), and the priority sports/disciplines/nations have been established (see Article 4.4), an intelligent Test Distribution Plan uses *Target Testing* to focus *Testing* resources where they are most needed within the overall pool of *Athletes*. *Target Testing* shall therefore be made a priority, i.e., a significant amount of the *Testing* undertaken as part of an *Anti-Doping Organization's* Test Distribution Plan shall be *Target Testing* of *Athletes* within its overall pool.

[Comment to 4.5.1: *Target Testing* is a priority because random *Testing*, or even weighted random *Testing*, does not ensure that all of the appropriate *Athletes* will be tested enough. The World Anti-Doping Code does not impose any reasonable suspicion or probable cause requirement for *Target Testing*. However, *Target Testing* should not be used for any purpose other than legitimate *Doping Control*.]

4.5.2 *Anti-Doping Organizations* shall consider conducting *Target Testing* on the following categories of *Athletes*:

- a) For International Federations, *Athletes* (especially from its priority disciplines or nations) who compete regularly at the highest level of international *Competition* (e.g., candidates for Olympic, Paralympic or World Championship medals), as determined by rankings or other suitable criteria.
- b) For National *Anti-Doping Organizations*, the following *Athletes* from its priority sports:
 - (i) *Athletes* who are part of national teams in Olympic or Paralympic or other sports of high national priority (or who might be selected for such teams);
 - (ii) *Athletes* who train independently but perform at Olympic/Paralympic or World Championship level and may be selected for such events;
 - (iii) *Athletes* in receipt of public funding; and
 - (iv) high-level *Athletes* who are nationals of other countries but who are present (whether residing, training, competing or

otherwise) within the *National Anti-Doping Organization's* country.

c) For all *Anti-Doping Organizations* with relevant *Testing Authority*:

(i) *Athletes* serving a period of *Ineligibility* or a *Provisional Suspension*; and

(ii) *Athletes* who were high priority for *Testing* before they retired from the sport and who now wish to return from retirement to active participation in the sport.

4.5.3 Other factors relevant to determining who should be made the subject of *Target Testing* may vary considerably from sport to sport, depending on the specific characteristics of the particular sport. However, the relevant factors are likely to include some or all of the following *Athlete* behaviours/factors indicating possible doping/increased risk of doping:

a) prior anti-doping rule violations/test history, including any abnormal biological parameters (blood parameters, steroid profiles, etc);

b) sport performance history, including in particular sudden major improvements in performance, and/or sustained high performance without a commensurate *Testing* record;

c) repeated Failure to Comply with whereabouts requirements;

d) suspicious whereabouts filing patterns (e.g., last-minute updates of *Whereabouts Filings*);

e) moving to or training in a remote location;

f) withdrawal or absence from expected *Competition*;

g) association with a third party (such as a team-mate, coach or doctor) with a history of involvement in doping;

h) injury;

i) age/stage of career (e.g., move from junior to senior level, nearing end of contract, approaching retirement);

j) financial incentives for improved performance, such as prize money or sponsorship opportunities; and/or

k) reliable information from a third party, or intelligence developed by or shared with the *Anti-Doping Organization* in accordance with Section 11.0 of the International Standard for Testing and Investigations.

4.5.4 *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 may be either 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). Random Selection that is weighted shall be conducted according to defined criteria, and may take into account the factors listed in Article 4.5.3 (as applicable) in order to ensure that a greater percentage of 'at risk' Athletes is selected.*

[Comment to 4.5.4: In addition to detecting doping, Testing by Random Selection can play an important deterrent role, as well as helping to protect the integrity of an Event.]

4.5.5 For the avoidance of doubt, notwithstanding the development of criteria for selection of Athletes for Testing, and in particular for Target Testing of Athletes, as well as the fact that as a general rule Testing should take place between 5 a.m. and 11 p.m. unless valid grounds exist for Testing overnight, the fundamental principle remains (as set out in Code Article 5.2) that an Athlete may be required to provide a Sample at any time and at any place by any Anti-Doping Organization with Testing Authority over him/her, whether or not the selection of the Athlete for Testing is in accordance with such criteria. Accordingly, an Athlete may not refuse to submit to Sample collection on the basis that such Testing is not provided for in the Anti-Doping Organization's Test Distribution Plan and/or is not being conducted between 5 a.m. and 11 p.m., and/or that the Athlete does not meet the relevant selection criteria for Testing or otherwise should not have been selected for Testing.

4.6 Prioritizing between different types of Testing

4.6.1 Based on the risk assessment and prioritization process described in Articles 4.2 to 4.5, the *Anti-Doping Organization* must determine to what extent each of the following types of Testing is required in order to detect and deter doping practices within the relevant sport(s), discipline(s) and/or nation(s) intelligently and effectively:

a) *In-Competition Testing and Out-of-Competition Testing;*

- i) In sports and/or disciplines that are assessed as having a high risk of doping during *Out-of-Competition* periods, *Out-of-Competition Testing* shall be made a priority, and a significant portion of the available *Testing* shall be conducted *Out-of-Competition*. However, some material amount of *In-Competition Testing* shall still take place.
- ii) In sports and/or disciplines that are assessed as having a low risk of doping during *Out-of-Competition* periods (i.e., where it can be clearly shown that doping while *Out-of-Competition* is unlikely to enhance performance or provide other illicit advantages), *In-Competition Testing* shall be made a priority, and a substantial portion of the available *Testing* shall be conducted *In-Competition*. However, some *Out-of-Competition Testing* shall still take place, proportionate to the risk of *Out-of-Competition* doping in such sport/discipline. Very exceptionally, i.e., in the small number of sports and/or disciplines where it is determined in good faith that there is no material risk of doping during *Out-of-Competition* periods, there may be no *Out-of-Competition Testing*.

b) *Testing of urine*;

c) *Testing of blood*; and

d) *Testing involving longitudinal profiling, i.e., the Athlete Biological Passport program.*

~~4.3.10~~4.6.2 Save in exceptional and justifiable circumstances, all *Testing* shall be No Advance Notice *Testing*:

- 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 *Testing* 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.

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~~4.4 Requirements for selection of Athletes for Testing~~

~~4.4.1 In implementing 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. The factors that will be relevant to determining who should be made the subject of Target Testing will vary as between different sports, but could include (without limitation) some or all of the following factors:~~

~~4.6.3 In order to ensure that Testing is conducted on a No Advance Notice Testing basis, the Testing Authority (and the Sample Collection Authority, if different) shall ensure that Athlete selection decisions are only disclosed in advance of Testing to those who need to know in order for such Testing to be conducted.~~

4.7 Sample analysis

4.7.1 Anti-Doping Organizations shall ask laboratories to analyze the Samples they have collected in a manner that is tailored to the particular circumstances of the sport/discipline/country in question. In accordance with Code Article 6.4, the starting-point is that Anti-Doping Organizations shall have all Samples collected on their behalf analyzed in accordance with the Sample analysis menus specified in the Technical Document referenced at Code Article 5.4.1; but (a) they may always ask laboratories to analyze their Samples using more extensive menus than those described in the Technical Document; and (b) they may also ask laboratories to analyze some or all of their Samples using less extensive menus than those described in the Technical Document where they have satisfied WADA that, because of the particular circumstances of their sport or discipline or nation (as applicable), as set out in the Test Distribution Plan, less extensive analysis would be appropriate.

4.7.2 WADA will approve the analysis of Samples for less than the Sample analysis menu specified in the Technical Document where it is satisfied that such an approach will lead to the most intelligent, effective and efficient use of available Testing resources.

4.7.3 The Anti-Doping Organization shall incorporate into its Test Distribution Plan a strategy for retention of Samples and the documentation relating to the collection of such Samples so as to enable the further analysis of

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such Samples at a later date in accordance with Code Article 6.5. Such strategy shall comply with the requirements of the International Standard for Laboratories and the International Standard for the Protection of Privacy and Personal Information, and shall take into account the purposes of analysis of Samples set out in Code Article 6.2, as well as (without limitation) the following elements:

- a) ~~Abnormal biological parameters (blood parameters, steroid profiles, etc);~~ Laboratory recommendations;
- b) ~~Injury;~~ The possible need for retroactive analysis in connection with the Athlete Biological Passport program;
- c) ~~Withdrawal or absence from expected Competition;~~ New detection methods to be introduced in the near future relevant to the Athlete, sport and/or discipline; and/or
- d) ~~Going into or coming out of retirement;~~ Samples collected from Athletes meeting some or all of the 'high risk' criteria set out at Article 4.5.

- e) ~~Behaviour indicating doping;~~
- f) ~~Sudden major improvements in performance;~~
- g) ~~Repeated failure to provide Whereabouts Filings;~~
- h) ~~Whereabouts Filings that may indicate a potential increase in the risk of doping, including moving to a remote location;~~
- i) ~~Athlete sport performance history;~~
- j) ~~Athlete age, e.g. approaching retirement, move from junior to senior level;~~
- k) ~~Athlete test history;~~
- l) ~~Athlete reinstatement after a period of Ineligibility;~~
- m) ~~Financial incentives for improved performance, such as prize money or sponsorship opportunities;~~
- n) ~~Athlete association with a third party such as coach or doctor with a history of involvement in doping; and~~
- o) ~~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 (as applicable) in order to ensure that a greater percentage of 'at risk' Athletes is selected.~~

~~4.4.4 As set out in Clause 11.2:~~

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- a. ~~In addition to developing a Test Distribution Plan that is specific to its sport, an IF 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 IF's Test Distribution Plan must encompass all relevant Athletes, not just Athletes included in the international Registered Testing Pool, and accordingly the IF should select Athletes for Testing (including Out-of-Competition Testing) who are not included in its international Registered Testing Pool. However, an appropriate 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 Test Distribution Plan that allocates its Testing resources among some or all of the sports within its jurisdiction, a NADO 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'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 should 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, an appropriate proportion of the Out-of-Competition tests allocated to that sport in the NADO's Test Distribution Plan must be conducted on those Athletes.~~

4.8 Collecting whereabouts information

4.8.1 Whereabouts information is not an end in itself, but rather simply a means to an end, namely the efficient and effective conduct of No Advance Notice Testing. Therefore, where an Anti-Doping Organization has determined that it needs to conduct Testing (including Out-of-Competition Testing) on particular Athletes, it must then consider how much information it needs about the whereabouts of those Athletes in order to conduct that Testing effectively and with no advance notice. The Anti-Doping Organization must collect all of the whereabouts information that it needs to conduct the Testing identified in its Test Distribution Plan effectively and efficiently. It must not collect more whereabouts information than it needs for that purpose.

[Comment to 4.8.1: In accordance with Code Article 5.6, whereabouts information collected by an Anti-Doping Organization may be used for

planning, coordinating or conducting Doping Control, providing information relevant to the Athlete Biological Passport or other analytical results, to support an investigation into a potential anti-doping rule violation, and/or to support proceedings alleging an anti-doping rule violation. In addition, the collection of whereabouts information can have a useful deterrent effect.

4.8.2 One consideration is whether the whereabouts information has to be provided by the *Athlete*, or alternatively whether it can be obtained from other sources. For example, where *Competition* and/or training in a sport is organized and carried out on a collective basis rather than on an individual basis, involving Team Activities, an International Federation or *National Anti-Doping Organization* may (in its absolute discretion) decide that it is sufficient to collect whereabouts information from the *Athlete's* team during such periods of Team Activity, without requiring the *Athlete* to provide further information for those periods. In such cases, however, in periods where there are no Team Activities scheduled or where an *Athlete* is not participating in Team Activities, then the *Athlete* may be required to provide more individualized whereabouts to enable No Advance Notice Testing of the *Athlete* during these periods.

4.8.3 The *Anti-Doping Organization* may determine that it needs more whereabouts information in respect of certain categories of *Athletes* than others. It should consider adopting a 'pyramid approach', based on the risk assessment and prioritizing exercises set out at Articles 4.2-4.5. According to this approach, *Athletes* are put into different tiers, depending on the priority that is placed on Testing those *Athletes*. The *Anti-Doping Organization* should determine, in the case of each tier of *Athletes*, how much whereabouts information it needs in order to conduct the amount of Testing allocated to those *Athletes* in the Test Distribution Plan effectively and efficiently.

[Comment to 4.8.3: For example, the Anti-Doping Organization may identify in its Test Distribution Plan a pyramid of different tiers of Athletes, with (i) a tier at the bottom for those Athletes from whom little or no whereabouts information is required to find them for the Testing allocated to them in the Test Distribution Plan, (ii) further tiers above that (containing Athletes from whom more whereabouts information is required, because there is little information available from other sources to find them for Testing, including Out-of-Competition Testing), and (iii) a top tier of Athletes from whom the greatest amount of whereabouts information is required, because they are likely to be selected for the greatest amount of Testing (including Out-of-Competition Testing) and there is insufficient whereabouts information available for them from other sources to locate them for that Testing. The top tier of Athletes should contain high-profile Athletes (e.g., contenders for national and/or international honours), Athletes in an Athlete Biological

Passport program, and Athletes at the highest risk of doping: see Article 4.5. In accordance with Article 4.8.4, this top tier of Athletes must be put into a Registered Testing Pool (so as to trigger the Code Article 2.4 Whereabouts Requirements) unless the Anti-Doping Organization is clearly able to obtain sufficient whereabouts information about such Athletes by other means.

This discretion is designed in particular to give Anti-Doping Organizations the flexibility to maintain pools of Athletes from whom some whereabouts information is obtained, which may not meet the Code Article 2.4 Whereabouts Requirements but which is nevertheless useful information that can be used to increase the effectiveness of the Anti-Doping Organization's Testing program. For example, an International Federation or National Anti-Doping Organization may decide that it needs to conduct a certain amount of Out-of-Competition Testing on a particular category of Athletes in a sport where competition and/or training is organized and carried out on a team basis rather than an individual basis, but that it can conduct that Testing effectively and on a No Advance Notice Testing basis by using information that is made available to it about the movements of the Athletes as part of their team, participating in Team Activities. However, if that team information is not sufficient to conduct the Testing required of such Athletes effectively and on a No Advance Notice Testing basis, and instead to conduct that Testing it is necessary to require the Athletes to comply with the Code Article 2.4 Whereabouts Requirements, then the International Federation or National Anti-Doping Organization must put the Athletes into its Registered Testing Pool.

If an Athlete in the tier below the Registered Testing Pool fails to comply with the whereabouts requirements applicable to his/her tier of Athletes, the International Federation or National Anti-Doping Organization in question should consider moving the Athlete up into the Registered Testing Pool.]

4.8.4 Where an International Federation or a National Anti-Doping Organization plans to collect three or more Samples per year Out-of-Competition from particular Athletes, it shall put them into a Registered Testing Pool (so that they are required to comply with the Code Article 2.4 Whereabouts Requirements) unless it is clearly able to obtain sufficient whereabouts information to conduct No Advance Notice Testing efficiently and effectively by some other means.

~~[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 an 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, however, there are certain minimum requirements for populating Registered Testing Pools, and pursuant to Clause 4.4.4 an appropriate number of the Out-of-Competition tests specified in the Test Distribution Plan must be carried out on Athletes in the Registered Testing Pool. Comment to 4.8.4: Each International Federation and each National Anti-Doping Organization has discretion to determine, independently of the other, (a) how much Out-of-Competition Testing it needs to conduct in respect of the sport(s) under its jurisdiction; and (b) whether the Athletes on whom it decides to conduct that Testing need to comply with the Code Article 2.4 Whereabouts Requirements in order to conduct the planned Testing on them effectively and efficiently and on a No Advance Notice Testing basis, or alternatively whether sufficient whereabouts information is available by other means to conduct such Testing, so that subjecting the Athletes in question to the Code Article 2.4 Whereabouts Requirements is unnecessary. The Anti-Doping Organization must be able to demonstrate it has made a proper assessment of the relevant risks and of the necessary prioritization in accordance with Articles 4.2 to 4.5, and that it has adopted appropriate criteria based on the results of that assessment. In particular, an Anti-Doping Organization whose Test Distribution Plan includes Testing during Out-of-Competition periods must have a Registered Testing Pool of Athletes who are required to comply with the Code Article 2.4 Whereabouts Requirements unless it can demonstrate that it is able to find those Athletes for No Advance Notice Testing during all Out-of-Competition periods without requiring compliance with the Code Article 2.4 Whereabouts Requirements. In any event, however, there should not be more Athletes in a Registered Testing Pool than the International Federation or National Anti-Doping Organization in question plans (on its own or in agreed coordination with other Anti-Doping Organizations with Testing Authority over those Athletes) to test Out-of-Competition at least three times a year.]~~

~~In the case of a NADO, 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 in Clause 4.3.1, as well as the risk assessment and other factors referred to in Clause 4.3.3, to treat as "priority" sports for purposes of Out-of-Competition Testing. Based on those factors, a NADO 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 does decide to include Athletes from a particular sport in the national Registered Testing Pool, an appropriate number 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 DCO to select Athletes for Sample collection, the ADO shall provide selection criteria to the DCO in accordance with the Test Distribution Plan.~~

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~~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.~~

4.8.5 Anti-Doping Organizations with Testing Authority over an Athlete in a Registered Testing Pool should conduct Out-of-Competition Testing on that Athlete using the whereabouts information provided by the Athlete in accordance with the Code Article 2.4 Whereabouts Requirements. Any such Athlete who fails three times in any 12-month period to provide the required information about his/her whereabouts (a Filing Failure) and/or to be available for Testing at such whereabouts (a Missed Test) shall be liable for an anti-doping rule violation under Code Article 2.4.

4.8.6 Where ADAMS is used to collect whereabouts information from Athletes in the Registered Testing Pool, then the names of those Athletes will automatically be available to WADA and other relevant Anti-Doping Organizations, as required under Code Article 5.6. Otherwise, however, to comply with Code Article 5.6, each International Federation and each National Anti-Doping Organization must make the criteria that it uses to determine which Athletes should be in its Registered Testing Pool, and/or a list of the Athletes meeting those criteria and so included in its Registered Testing Pool, available in writing to WADA, the International Federation/National Anti-Doping Organization (as applicable), and other Anti-Doping Organizations who have Testing Authority over those Athletes.

[Comment to 4.8.6: There is no requirement that a National Anti-Doping Organization must include in its Registered Testing Pool those Athletes under its jurisdiction who are included in their International Federation's Registered Testing Pool, or vice versa. In no event, however, may an Athlete be required to file different sets of whereabouts information with different Anti-Doping Organizations. Instead, if an Athlete is in one tier for his/her International Federation and another tier for his/her National Anti-Doping Organization, he/she shall comply with whichever tier has the greater whereabouts requirements, and all Anti-Doping Organizations with Testing Authority over him/her may access that information in order to locate him/her for Testing.]

4.8.7 Each International Federation and each National Anti-Doping Organization shall regularly review and update as necessary its criteria for including Athletes in its Registered Testing Pool, to ensure that they remain fit for purpose, i.e., they are capturing all appropriate Athletes. It should take into account the Competition calendar for the relevant period. For example, it may be appropriate to change or increase the number of Athletes in the Registered

Testing Pool in the lead-up to an Olympic or Paralympic Games or a World Championship.

4.8.8 In addition, each International Federation and National Anti-Doping Organization shall periodically (but no less than quarterly) review the list of Athletes in its Registered Testing Pool to ensure that each listed Athlete continues to meet the relevant criteria. Athletes who no longer meet the criteria should be removed from the Registered Testing Pool and Athletes who now meet the criteria should be added to the Registered Testing Pool. The Anti-Doping Organization must advise such Athletes of the change in their status, and make a new list of Athletes in the Registered Testing Pool available in accordance with Article 4.8.6, without delay.

4.8.9 For periods when Athletes come under the Testing Authority of a Major Event Organization:

- a) if they are in a Registered Testing Pool then the Major Event Organization may access their Whereabouts Filings for the relevant period in order to conduct Testing on them;
- b) if they are not in a Registered Testing Pool then the Major Event Organization may adopt Event-specific rules requiring them to provide such information about their whereabouts for the relevant period as it deems necessary and proportionate in order to conduct Testing on them.

4.9 Co-ordinating with other Anti-Doping Organizations

4.9.1 Anti-Doping Organizations shall coordinate their Testing efforts with the efforts of other Anti-Doping Organizations with overlapping Testing Authority, in order to maximise the effectiveness of those combined efforts and to avoid unnecessarily repetitive Testing of particular Athletes. In particular:

- a) Anti-Doping Organizations shall consult with other relevant Anti-Doping Organizations in order to coordinate Testing activities and to avoid duplication. Clear agreement on roles and responsibilities for Event Testing shall be agreed in advance in accordance with Code Article 5.3. Where such agreement is not possible, WADA will resolve the matter in accordance with the principles set out at Annex J – Event Testing.
- b) Anti-Doping Organizations shall, without any unnecessary delay, share information on their completed Testing with other relevant Anti-Doping Organizations, via ADAMS or any other system approved by WADA.

4.9.2 Anti-Doping Organizations may contract other Anti-Doping Organizations or third parties to act as Sample Collection Authorities on their behalf. In the terms of the contract, the commissioning Anti-Doping Organization (which, for these purposes, is the Testing Authority) may specify how any discretion afforded to a Sample Collection Authority under the International Standard for Testing and Investigations is to be exercised by the Sample Collection Authority when collecting Samples on its behalf.

[Comment to 4.9.2: For example, the International Standard for Testing and Investigations confers discretion as to the criteria to be used to validate the identity of the Athlete (Article 5.3.4), as to the circumstances in which delayed reporting to the Doping Control Station may be permitted (Article 5.4.4), as to the criteria to be used to ensure that each Sample collected is stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station (Article 8.3.1), as to who may be present during the Sample Collection Session (Article 6.3.3), and as to the guidelines to be followed by the DCO in determining whether exceptional circumstances exist that mean a Sample Collection Session should be abandoned without collecting a Sample with a Suitable Specific Gravity for Analysis (Article G.4.6).]

4.9.3 Anti-Doping Organizations should consult and coordinate with each other, with WADA, and with law enforcement and other relevant authorities, in obtaining, developing and sharing information and intelligence that can be useful in informing Test Distribution Planning, in accordance with Section 11.0 of the International Standard for Testing and Investigations.

5.0 Notification of Athletes

5.1 Objective

The objective is to ensure that ~~reasonable attempts are made to locate the an Athlete, the who has been~~ selected ~~Athlete~~for Testing is properly notified of Sample collection as outlined in ~~Clause~~Article 5.4.1, that the rights of the Athlete are maintained, that there are no opportunities to manipulate the Sample to be provided, and that the notification is documented.

~~[5.1 Comment: WADA will produce guidelines to assist ADOs in determining what constitutes reasonable attempts to locate an Athlete in the specific context of Section 11 (Whereabouts).]~~

5.2 General

Notification of *Athletes* starts when the ~~ADO~~Sample Collection Authority 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~~Failure to ~~comply~~Comply is brought to the ~~ADO~~Testing Authority's attention. The main activities are:

- a) Appointment of DCOs, Chaperones and other Sample Collection Personnel;
- b) Locating the Athlete and confirming his/her identity;
- c) Informing the Athlete that he/she has been selected to provide a Sample and of his/her rights and responsibilities;
- d) For No Advance Notice ~~Sample collection~~Testing, continuously chaperoning the Athlete from the time of notification to the arrival at the designated Doping Control Station; and
- e) Documenting the notification, or notification attempt.

5.3 Requirements prior to notification of Athletes

5.3.1 ~~Other than by exception~~Save in exceptional and justifiable circumstances, No Advance Notice Testing shall be the ~~notification~~ method for *Sample* collection.

[Comment to 5.3.1: It is not justifiable for a National Federation or other body to insist that it be given advance notice of Testing of Athletes under its jurisdiction so that it can have a representative present at such Testing.]

5.3.2 ~~To conduct or assist with~~The Sample Collection Sessions, the ADOAuthority shall appoint and authorise Sample Collection Personnel to conduct or assist with Sample Collection Sessions 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 ~~authorisation~~ documentation ~~that is~~ provided and controlled by the ADO. In the case of DCOs, such documentation shall identify them by name by the Sample Collection Authority, evidencing their authority to collect a Sample from the Athlete, such as an authorisation letter from the Testing Authority. DCOs shall also carry complementary identification which includes their name and

photograph (i.e., ~~ADO~~ identification card [from the Sample Collection Authority](#), driver's licence, health card, passport or similar valid identification) and the expiry date of the identification.

~~[5.3.3 Comment: Chaperones do not have to carry documentation that identifies them by name or photograph. They only have to produce official authorisation documentation that is provided by the ADO, such as a Mission Order or an Authorisation Letter.]~~

5.3.4 ~~The ADO~~ [The Testing Authority or otherwise the Sample Collection Authority](#) 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.~~ [Doping Control form.](#)

5.3.5 The ~~ADO~~ [Sample Collection Authority](#), 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~~ [Sample Collection Authority](#) shall establish a system for the detailed recording of *Athlete* notification attempt~~f~~(s) and outcome~~f~~(s).

5.3.7 The *Athlete* shall be the first ~~one~~ [person](#) notified that he/she has been selected for *Sample* collection, except where prior contact with a third party is required as specified in ~~Clause~~ [Article](#) 5.3.8.

5.3.8 The ~~ADO~~ [Sample Collection Authority](#)/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~~ [impairment](#) (as provided for in Annex B - Modifications for *Athletes* with ~~disabilities~~ [Impairments](#)), or in situations where an interpreter is required and available for the notification.

~~[5.3.8 Comment to 5.3.8: In the case of In-Competition Testing, it is permissible to notify third parties that Testing [of Minors or Athletes with impairments](#) will be conducted, where required to help the [Sample Collection Personnel](#) to identify the *Athlete(s)* to be tested and to notify such *Athlete(s)* that he/she is required to provide a *Sample*. However, there is no requirement to notify any third party (e.g., a team doctor) of the Doping Control mission where such assistance is not needed. [Any third party notification must be conducted in a secure and confidential manner so that there is no risk that the Athlete will receive any advance notice of his/her selection for Sample](#)~~

collection. Generally it should occur at the end of the Competition in which the Athlete is competing or as close as possible to the end.]

5.4 Requirements for notification of Athletes

5.4.1 When initial contact is made, the ~~ADO~~Sample Collection Authority, DCO or Chaperone, as applicable, shall ensure that the *Athlete* and/or a third party (if required in accordance with ~~Clause~~Article 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 accompany him/her, in accordance with Article 6.3.3(a);
 - 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~~Impairments.
- e) Of the *Athlete's* responsibilities, including the requirement to:
 - ~~i.~~ i.—Remain within direct observation of the DCO/Chaperone at all times from the point ~~of notification~~initial contact is made by the DCO/Chaperone until the completion of the *Sample* collection procedure;
 - ~~ii.~~ ii.—Produce identification in accordance with ~~Clause~~Article 5.3.4;
 - ~~iii.~~ iii.—Comply with *Sample* collection procedures (and the *Athlete* should be advised of the possible ~~consequences~~Consequences of Failure to Comply); and

- ~~iv.~~ ~~iv.~~ Report immediately for a ~~test~~ Sample collection, unless there are valid reasons for a delay, as determined in accordance with ~~Clause~~ Article 5.4.4.
- f) Of the location of the Doping Control Station; ~~;~~
- g) That should the *Athlete* choose to consume food or fluids prior to providing a *Sample*, he/she does so at his/her own risk, ~~and should in any event avoid excessive rehydration, having in mind the requirement to produce a Sample with a Suitable Specific Gravity for Analysis~~; ;
- h) Not to hydrate excessively, since this may delay the production of a suitable Sample; and
- ~~h~~i) That ~~the~~ any urine *Sample* provided by the *Athlete* to the Sample Collection Personnel should be the first urine passed by the *Athlete* subsequent to notification, i.e., he/she should not pass urine in the shower or otherwise prior to providing a *Sample* to the Sample Collection Personnel.

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

- a) From ~~this~~ the time of such contact 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 the documentation referred to in ~~Clause 5.3.3~~ Article 5.3.3; ~~and~~
- c) Confirm the *Athlete's* identity as per the criteria established in ~~Clause~~ Article 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 Testing Authority. In cases where the Athlete's identity cannot be confirmed as per the criteria established in Article 5.3.4, the Testing Authority shall decide whether it is appropriate to follow up in accordance with Annex A – Investigating a Possible Failure to Comply.

~~In cases where the Athlete's identity cannot be confirmed as per the criteria established in Clause 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~~Consequences of refusing or 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 Testing Authority. The ADO Testing Authority shall follow the steps prescribed in Annex A – Investigating a Possible Failure to Comply.

5.4.4 The DCO/Chaperone may at ~~their~~his/her discretion consider any reasonable third party ~~requirement~~request or any request by the *Athlete* for permission to delay reporting to the Doping Control Station following ~~acknowledgement~~acknowledgment and acceptance of notification, and/or to leave the Doping Control Station temporarily after arrival, and may grant such permission if the *Athlete* can be continuously chaperoned and kept under direct observation during the delay ~~and if the request relates to~~. For example, delayed reporting to/temporary departure from the Doping Control Station may be permitted for the following activities:

a) For *In-Competition Testing*:

- i) Participation in a ~~victory~~presentation ceremony;
- ii) Fulfilment of media commitments;
- iii) Competing in further *Competitions*;
- iv) Performing a warm down;
- v) Obtaining necessary medical treatment;
- vi) Locating a representative and/or interpreter;
- vii) Obtaining photo identification; or
- viii) Any other ~~exceptional~~reasonable circumstances ~~which may be justified, and which shall be documented, as determined by the DCO, taking into account any instructions of the Testing Authority.~~

b) For *Out-of-Competition Testing*:

- i) Locating a representative;

- ii) Completing a training session;
- iii) Receiving necessary medical treatment;
- iv) Obtaining photo identification; or
- ey) Any other ~~exceptional~~reasonable circumstances ~~which can be justified, and which shall be documented, as determined by the DCO, taking into account any instructions of the Testing Authority.~~

5.4.5 The DCO or other authorised Sample Collection Personnel shall document any 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.~~Testing Authority. Any failure of the *Athlete* to remain under constant observation should also be recorded.

5.4.6 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~~observed during such delay.

5.4.7 If the *Athlete* delays reporting to the Doping Control Station other than in accordance with ~~Clause~~Article 5.4.4 but arrives prior to the DCO's departure, the DCO shall decide 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's* delay in reporting to the Doping Control Station.

5.4.8 If, ~~while keeping the Athlete under observation,~~ Sample Collection Personnel observe any matter with potential to compromise the ~~test~~collection of the Sample, 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~~ **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~~ **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 present during a Sample Collection Session;
- c) Ensuring that the Doping Control Station meets the minimum criteria prescribed in ~~Clause~~Article 6.3.2; and
- d) Ensuring that the Sample Collection Equipment ~~used by the ADO~~ meets the minimum criteria prescribed in ~~Clause~~Article 6.3.4.

~~6.3~~ **6.3 Requirements for preparing for the Sample Collection Session**

6.3.1 The ~~ADO~~Testing Authority or otherwise the Sample Collection Authority shall establish a system for obtaining all the information necessary to ensure that the Sample Collection Session can be conducted effectively, including identifying special requirements to meet the needs of *Athletes* with ~~disabilities~~impairments (as provided in Annex B – Modifications for *Athletes* with ~~disabilities~~Impairments) as well as the needs of *Athletes* who are *Minors* (as provided in 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~~Sample Collection Authority shall establish criteria for who may be authorized 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) The entitlement of an *Athlete* with ~~a disability~~ an impairment to be accompanied by a representative as provided for in Annex B - Modifications for *Athletes* with ~~disabilities~~ Impairments;
- d) A WADA ~~Independent Observer~~ observer where applicable under the *Independent Observer Program*. The WADA ~~Independent Observer~~ observer shall not directly observe the passing of a urine *Sample*.

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

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

6.3.5 The ~~ADO~~ Sample Collection Authority 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.

[~~6.3.5-Comment to 6.3.5: Information as to how a Sample is stored prior to departure from the Doping Control Station may be recorded on (for example) a post-mission report. When the Sample is taken from the Doping Control Station, each transfer of custody of the Sample from one person to another,~~

e.g. from the DCO to the courier, or from the DCO to the laboratory, should be documented, up until the Sample arrives at its intended destination.]

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 and dignity 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* has been collected and secured and 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~~Sample Collection Authority 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 ~~Clause~~Article 5.4.1.

7.3.3 The DCO shall provide the *Athlete* with the opportunity to hydrate. The *Athlete* should avoid excessive rehydration, having in mind the requirement to provide a *Sample* with a Suitable Specific Gravity for Analysis.

7.3.4 The *Athlete* shall only leave the Doping Control Station under continuous observation by the DCO ~~or~~ 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 ~~Clauses~~Articles 5.4.4, 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 continuous observation ~~at all times; and~~ throughout;
 - d) That the *Athlete* shall not pass urine until he/she gets back to the Doping Control Station; and
- ~~the~~) The DCO shall document 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~~ Urine *Samples*;
- b) Annex E: Collection of ~~blood~~ Blood *Samples*.

7.4.2 Any behaviour by the *Athlete* and/or ~~persons~~ 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 Testing Authority shall institute Annex A – Investigating a ~~possible~~ 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 Testing Authority shall institute Annex A – Investigating a ~~possible~~ 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 Sample Collection 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~~ no advance notice or advance notice);
- b) Arrival time at Doping Control Station;

- c) Date and time of ~~Sample provision~~completion of Sample collection process (i.e., the time when the Athlete signs the declaration at the bottom of the Doping Control form);
- d) The name of the Athlete;
- e) The date of birth of the Athlete;
- f) The gender of the Athlete;
- g) The Athlete's home address, email address and telephone number;
- h) The Athlete's sport and discipline;
- i) The name of the Athlete's coach and doctor;
- j) The Sample code number;
- k) The type of the Sample (urine, blood, etc);
- l) The type of ~~the~~ test (*In-Competition* or *Out-of-Competition*);
- m) The name and signature of the witnessing DCO/Chaperone;
- n) The name and signature of the Blood Collection Officer (where applicable);
- o) Partial Sample information, as per Article F.4.4;
- p) Required laboratory information on the Sample (i.e., for a urine Sample, its volume and specific gravity);
- ~~q~~r) Medications and supplements taken within the previous seven days and ~~recent blood transfusion details (if applicable) within the timeframe specified by the laboratory (where the Sample collected is a blood Sample)~~ blood transfusions within the previous three months, as declared by the Athlete;
- ~~r~~s) Any irregularities in procedures;
- ~~s~~t) Athlete comments or concerns regarding the conduct of the Sample Collection Session, if provided;~~s) Athlete consent for the processing of test data in ADAMS;~~ as declared by the Athlete;

- t) [Athlete consent for the processing of Sample collection data;](#)
- u) Athlete consent or otherwise for the use of the *Sample(s)* for research purposes;
- ~~u~~v) The name and signature of the *Athlete's* representative (if applicable), as per ~~Clause~~Article 7.4.6;
- ~~v~~-w) The name and signature of the *Athlete*;
- ~~w~~-x) The name and signature of the DCO;
- ~~x~~-y) The name of the Testing Authority; ~~and~~
- ~~y~~-z) The name of the Sample Collection Authority; and
- aa) The name of the Results Management Authority.

7.4.6 At the conclusion of the Sample Collection 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~~expressed by the *Athlete*. The *Athlete's* representative (if any) 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~~dispatch from the *Doping Control Station*.

~~8.2~~ **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 *Sample* collection documentation for transport.

~~8.3~~ **8.3 Requirements for security/post test administration**

8.3.1 The ~~ADO~~Sample Collection Authority shall define criteria ensuring that ~~any~~each *Sample* ~~will be collected is~~ stored in a manner that protects its integrity, identity and security prior to transport from the *Doping Control Station*. At a minimum, these criteria should include detailing and documenting the location where *Samples* are stored and who has custody of the *Samples* and/or is permitted access to the *Samples*. The DCO shall ensure that any *Sample* is stored in accordance with these criteria.

8.3.2 The ~~ADO/DCO~~Sample Collection Authority shall develop a system to ensure that the documentation for each *Sample* is completed and securely handled.

8.3.3 The ~~ADO~~Sample Collection Authority 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, that will be conducting the analysis.~~ In addition, the ~~ADO~~Anti-Doping Organization shall provide the ~~WADA-accredited~~ laboratory with information as required under ~~Clause~~Article 7.4.5 c), f), h), j), k), l), o), p), ~~xq) and~~, y), z) and aa) for result reporting and statistical purposes.

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~~ that will be conducting the analysis 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~~ Testing Authority in a secure and timely manner.

9.2 General

9.2.1 Transport starts when the *Samples* and related documentation leave the Doping Control Station and ends with the confirmed receipt of the *Samples* and Sample Collection Session documentation at their intended destinations.

9.2.2 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~~ that will be conducting the analysis, and arranging for the secure transport of the Sample Collection Session documentation to the ~~ADO~~ Testing Authority.

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

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

9.3.2 *Samples* shall always be transported to the ~~WADA-accredited~~ laboratory ~~(or as otherwise approved by WADA)~~ that will be analyzing the Samples using the ~~ADO~~ Sample Collection Authority's authorised transport method, as soon as practicable after the completion of the Sample Collection Session. *Samples* shall be transported in a manner which minimizes the potential for *Sample* degradation due to factors such as time delays and extreme temperature variations.

~~[9.3.2-Comment: ADOs to 9.3.2: Anti-Doping Organizations should discuss transportation requirements for particular missions with the laboratory they are using for analysis of (e.g., where the Sample has been collected in less than hygienic conditions, or where delays may occur in transporting the Samples to the laboratory) with the laboratory that will be analyzing the Samples, to establish what is necessary (e.g., whether refrigeration or freezing of Samples is~~
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~~necessary~~) in the particular circumstances of such mission(s (e.g., refrigeration or freezing of the Samples).]

9.3.3 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.~~ that will be analyzing the Samples.

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

~~9.3.5 Chain of Custody shall be checked by the ADO if receipt of either~~
~~_____ If the Samples with accompanying documentation or the Sample~~
~~Collection Session documentation is/are not confirmed/received at their~~
~~respective intended destination/destinations, or if a Sample's integrity or~~
~~identity may have been compromised during transport. In this instance, the~~
~~ADO, the Sample Collection Authority shall check the Chain of Custody, and the~~
~~Testing Authority shall consider whether the Sample/Samples should be voided.~~

9.3.6 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 Code Article 17.~~ Testing Authority and/or the Sample Collection Authority for the period specified in the International Standard for the Protection of Privacy and Personal Information.

~~9.3.7 Upon request, the ADO shall collect and furnish to WADA, adverse sample profile information to supplement the mandatory provisions of Code article 14.1.2. This information regarding the circumstances surrounding Adverse and Atypical findings, shall be determined by WADA and may include, but is not limited to:~~

- ~~a) The status of Athlete with respect to their Competition level;~~
- ~~b) The status of Athlete with respect to whereabouts information;~~
- ~~c) The timing of the test relative to training and competition schedules;~~
- ~~and~~
- ~~d) Other such profile information as determined by WADA.~~

10.0 Ownership of Samples

~~10.1 The ADO which initiates Testing on the Athlete owns the Samples collected from the Athlete.~~ Samples collected from an Athlete are owned by the Testing Authority for the Sample Collection Session in question.

10.2 The ~~ADO which initiates Testing on the Athlete~~Authority may transfer ownership of the *Samples* to the ~~ADO exercising results management in relation to such Testing.~~ Results Management Authority or to another Anti-Doping Organization upon request.

PART THREE: STANDARDS FOR INTELLIGENCE GATHERING AND INVESTIGATIONS

11.0 ~~Athlete~~ ~~Whereabouts~~ ~~Requirements~~ Gathering, assessment and use of intelligence

11.1 ~~Objective/general principles~~

11.1.1 ~~It is recognised and accepted that (a) No Advance Notice Out of Competition Testing is at the core of effective Doping Control; and (b) without accurate information as to an Athlete's whereabouts, such Testing can be inefficient and often impossible. Code Article 5.8 requires Anti-Doping Organizations to obtain, assess and process anti-doping intelligence from all available sources, to be used to help deter and detect doping, by informing the development of an effective, intelligent and proportionate Test Distribution Plan and/or the planning of Target Testing, and/or by forming the basis of an investigation into a possible anti-doping rule violation(s). The objective of this Section 11.0 of the International Standard for Testing and Investigations is to establish standards for the efficient and effective gathering, assessment and processing of such intelligence for these purposes.~~

~~[11.1.1 Comment: Such recognition is the fundamental rationale underlying Code Article 2.4 and this Section 11 of the 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, each IF and NADO shall create a Registered Testing Pool of Athletes meeting criteria specified by the IF/NADO (as applicable): see Clause 11.2 and, in relation to Team Sports, Clause 11.5. Athletes in a Registered Testing Pool shall be subject to and required to comply with the Athlete whereabouts requirements set out in this Section 11: see Code Article 14.3.~~

11.1.3 ~~An Athlete in a Registered Testing Pool is required to make a quarterly Whereabouts Filing that provides accurate and complete 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: see Clause 11.3. A failure to do so amounts to a Filing Failure and therefore a Whereabouts Failure for purposes of Code Article 2.4.~~

~~11.1.4 An Athlete in a Registered Testing Pool is also required to specify in his/her 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: see Clause 11.4. This does not limit in any way the Athlete's obligation to be available for Testing at any time and place. Nor does it limit his/her obligation to provide the information specified in Clause 11.3 as to his/her whereabouts outside of that 60 minute time slot. 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 Whereabouts Filing, and has not updated his/her 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 Code Article 2.4.~~ Comment to 11.1.1: While Testing will always remain an integral part of the anti-doping effort, Testing alone is not always sufficient to detect and establish to the requisite standard all of the anti-doping rule violations identified in the Code. In particular, while Use of Prohibited Substances and Prohibited Methods may often be uncovered by analysis of Samples, the other Code anti-doping rule violations (and, often, Use) can usually only be effectively identified and pursued through the gathering and investigation of 'non-analytical' anti-doping intelligence and information. This means that Anti-Doping Organizations need to develop efficient and effective intelligence-gathering and investigation functions.]

11.2 Gathering of anti-doping intelligence

11.2.1 Anti-Doping Organizations shall do everything in their power to ensure that they are able to capture or receive anti-doping intelligence from all available sources, including Athletes and Athlete Support Personnel (including Substantial Assistance provided pursuant to Code Article 10.6.1) and members of the public (e.g., by means of a confidential telephone hotline), Sample Collection Personnel (whether via mission reports, incident reports, or otherwise), laboratories, pharmaceutical companies, National Federations, law enforcement, other regulatory and disciplinary bodies, and the media.

11.2.2 Anti-Doping Organizations shall have policies and procedures in place to ensure that anti-doping intelligence captured or received is handled securely and confidentially, that sources of intelligence are protected, that the risk of leaks or inadvertent disclosure is properly addressed, and that intelligence shared with them by law enforcement, other relevant authorities and/or other third parties, is processed, used and disclosed only for legitimate anti-doping purposes.

11.3 Assessment and analysis of anti-doping intelligence

11.3.1 Anti-Doping Organizations shall ensure that they are able to assess all anti-doping intelligence upon receipt for relevance, reliability and accuracy, ~~International Standard for Testing, January 2012~~ 79 of 167 ~~2015~~
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taking into account the nature of the source and the circumstances in which the intelligence has been captured or received.

~~[11.1.4 Comment:— The purpose of the 60 minute time slot is to strike a balance between the need to locate the Athlete for Testing and the impracticality and unfairness of making Athletes potentially accountable for a Missed Test every time they depart from their previously declared routine. ADOs that implemented whereabouts systems in the period up to 2008 reflected that tension in different ways. Some demanded "24/7" whereabouts information, but did not declare a Missed Test if an Athlete was not where he/she had said he/she would be unless (a) he/she could still not report for Testing despite being given notice in the form of a phone call; or (b) the following day he/she was still not where he/she had said he/she would be. Others asked for details of the Athlete's whereabouts for only one hour per day, but held the Athlete fully accountable during that period, which gave each side certainty but limited the ADO's ability to test the Athlete outside that hour. After extensive consultation with stakeholders with substantial whereabouts experience, the view was taken that the best way to maximize the chances of finding the Athlete at any time, while providing a reasonable and appropriate mitigation of "24/7" Missed Test liability, was to combine the best elements of each system, i.e. requiring disclosure of whereabouts information on a "24/7" basis, while limiting exposure to a Missed Test to a 60-minute time slot. (For discussion of how this will work in practice, see the comment to Clause 11.4.1).]~~
[Comment to 11.3.1: There are various models that may be used as the basis for the assessment and analysis of anti-doping intelligence. There are also powerful databases and case management systems that may be used to assist in the organization, processing, analysis and cross-referencing of such intelligence.]

~~11.1.5 More than one ADO may have jurisdiction to test an Athlete in a Registered Testing Pool (see Code Article 15) and therefore (where an attempt to test the Athlete is unsuccessful and the requirements of Clause 11.5.3 are satisfied) to record a Missed Test against that Athlete. That Missed Test shall be recognized by other ADOs in accordance with Code Article 15.4.~~

~~11.1.6 An Athlete in a Registered Testing Pool shall be deemed to have committed an anti-doping rule violation under Code Article 2.4 if he/she commits a total of three Whereabouts Failures (which may be any combination of Filing Failures and/or Missed Tests adding up to three in total) within any 18 (eighteen) month period, irrespective of which ADO(s) has/have declared the Whereabouts Failures in question.~~

11.3.2 All anti-doping intelligence captured or received by an Anti-Doping Organization should be collated and analysed to establish patterns, trends and relationships that may assist the Anti-Doping Organization in developing an effective anti-doping strategy and/or in determining (where the intelligence relates to a particular case) whether there is reasonable cause to suspect that an anti-doping rule violation may have been committed, such that further

investigation is warranted in accordance with Section 12.0 of the International Standard for Testing and Investigations.

11.4 Intelligence outcomes

11.4.1 Anti-doping intelligence shall be used to assist in developing, reviewing and revising the Test Distribution Plan and/or in determining when to conduct Target Testing, in each case in accordance with Section 4.0 of the International Standard for Testing and Investigations, and/or to create targeted intelligence files to be referred for investigation in accordance with Section 12.0 of the International Standard for Testing and Investigations.

11.4.2 Anti-Doping Organizations should also develop and implement policies and procedures for the sharing of intelligence (where appropriate, and subject to applicable law) with other Anti-Doping Organizations (e.g., if the intelligence relates to Athletes or other Persons under their jurisdiction) and/or law enforcement and/or other relevant regulatory or disciplinary authorities (e.g., if the intelligence suggests the possible commission of a crime or regulatory offence or breach of other rules of conduct).

12.0 Investigations

12.1 Objective

12.1.1 The objective of this Section 12.0 of the International Standard for Testing and Investigations is to establish standards for the efficient and effective conduct of investigations that *Anti-Doping Organizations* must conduct under the *Code*, including:

- a) the investigation of *Atypical Findings* and *Adverse Passport Findings*, in accordance with *Code* Articles 7.4 and 7.5 respectively;
- b) the investigation of any other analytical or non-analytical information or intelligence where there is reasonable cause to suspect that an anti-doping rule violation may have been committed, in accordance with *Code* Articles 7.6 and 7.7 respectively; and
- c) where an anti-doping rule violation by an *Athlete* is established, the investigation into whether *Athlete Support Personnel* or other *Persons* may have been involved in that violation, in accordance with *Code* Article 20.

12.1.2 In each case, the purpose of the investigation is to achieve one of the following: either (a) to rule out the possible violation/involvement in a violation; or (b) to develop evidence that supports the initiation of an anti-doping rule violation proceeding in accordance with *Code* Article 8.

12.2 Investigating *Atypical Findings* and *Adverse Passport Findings*

12.2.1 *Anti-Doping Organizations* shall ensure that they are able to **investigate confidentially and effectively *Atypical Findings* and *Adverse Passport Findings* arising out of *Testing* conducted on their behalf and/or for which they are the Results Management Authority, in accordance with the requirements of *Code* Articles 7.4 and 7.5 respectively, and of the International Standard for Laboratories.**

12.2.2 The *Anti-Doping Organization* shall provide to *WADA* upon request (or shall procure that the *Testing Authority*, if different, provides to *WADA* upon request) further information regarding the circumstances of *Adverse Analytical Findings*, *Atypical Findings*, and other potential anti-doping rule violations, such as (without limitation):

- a) the *Competition* level of the *Athlete* in question;
- b) what whereabouts information (if any) the *Athlete* in question provides, and whether that information was used to locate him/her

for the *Sample* collection that led to the *Adverse Analytical Finding* or the *Atypical Finding*;

- c) the timing of the *Sample* collection in question relative to the *Athlete's* training and *Competition* schedules; and
- d) other such profile information as determined by WADA.

12.3 Investigating other possible anti-doping rule violations

12.3.1 *Anti-Doping Organizations* shall ensure that they are able to investigate confidentially and effectively any other analytical or non-analytical information or intelligence that indicates there is reasonable cause to suspect that an anti-doping rule violation may have been committed, in accordance with *Code* Articles 7.6 and 7.7, respectively.

[*Comment to 12.3.1: Where an attempt to collect a Sample from an Athlete produces information indicating a possible evasion of Sample collection and/or refusal or failure to submit to Sample collection after due notification, in violation of Code Article 2.3, or possible Tampering or Attempted Tampering with Doping Control, in violation of Code Article 2.5, the matter shall be investigated in accordance with Annex A – Investigating a Possible Failure to Comply.*]

12.3.2 When there is reasonable cause to suspect that an anti-doping rule violation may have been committed, the *Anti-Doping Organization* shall notify WADA that it is starting an investigation into the matter in accordance with *Code* Article 7.6 or *Code* Article 7.7, as applicable. Thereafter the *Anti-Doping Organization* shall keep WADA updated on the status and findings of the investigation upon request.

12.3.3 The *Anti-Doping Organization* shall gather and record all relevant information and documentation as soon as possible, in order to develop that information and documentation into admissible and reliable evidence in relation to the possible anti-doping rule violation, and/or to identify further lines of enquiry that may lead to the discovery of such evidence. The *Anti-Doping Organization* shall ensure that investigations are conducted fairly, objectively and impartially at all times. The conduct of investigations, the evaluation of information and evidence identified in the course of that investigation, and the outcome of the investigation, shall be fully documented.

[*Comment to 12.3.3: It is important that information is provided to and gathered by the investigating Anti-Doping Organization as quickly as possible and in as much detail as possible, because the longer the period between the incident and investigation, the greater the risk that certain evidence may no longer exist.*]

Investigations should not be conducted with a closed mind, pursuing only one outcome (e.g., institution of anti-doping rule violation proceedings against an

Athlete or other Person). Rather, the investigator(s) should be open to and should consider all possible outcomes at each key stage of the investigation, and should seek to gather not only any available evidence indicating that there is a case to answer but also any available evidence indicating that there is no case to answer.]

12.3.4 The Anti-Doping Organization should make use of all investigative resources reasonably available to it to conduct its investigation. This may include obtaining information and assistance from law enforcement and other relevant authorities, including other regulators. However, the Anti-Doping Organization should also make full use of all investigative resources at its own disposal, including the Athlete Biological Passport program, investigative powers conferred under applicable rules (e.g., the power to demand the production of relevant documents and information, and the power to interview both potential witnesses and the Athlete or other Person who is the subject of the investigation), and the power to suspend a period of Ineligibility imposed on an Athlete or other Person in return for the provision of Substantial Assistance in accordance with Code Article 10.6.1.

~~*[11.1.6 Comment: While a single Whereabouts Failure will not amount to an anti-doping rule violation under Code Article 2.4, it may, if the circumstances are particularly flagrant, amount to an anti-doping rule violation under Code Article 2.3 (evading Sample collection) and/or Code Article 2.5 (Tampering or Attempted Tampering with Doping Control). Nothing in this International Standard is intended to prevent an ADO from treating a Whereabouts Failure as an anti-doping rule violation under one or both such Articles where the circumstances warrant (without prejudice to the ability subsequently to rely on it as a Whereabouts Failure under Code Article 2.4).Comment to 12.3.4: WADA's document entitled 'Coordinating Investigations and Sharing Anti-Doping Information and Evidence' provides guidance on how to build efficient and effective relationships with law enforcement and other relevant authorities that will facilitate the sharing of anti-doping intelligence and information and the co-ordination of investigations.]*~~

~~*Only Athletes who have been designated for inclusion in a Registered Testing Pool, in accordance with Code Article 14.3, are subject to the whereabouts requirements set out in this Section 11. Other Athletes are not subject to those whereabouts requirements. However, nothing in this International Standard prevents an ADO developing different whereabouts requirements for Athletes outside the Registered Testing Pool. For example:*~~

~~*a. where the circumstances warrant, an ADO may identify certain "high risk" Athletes under its jurisdiction who should be subject to stricter whereabouts requirements (such as an expansion of the time slots during which an Athlete may be held liable for a missed test if he/she is not available for Testing, e.g. to incorporate regular training periods); and/or*~~

~~b. an ADO may identify a pool of Athletes (e.g. those Athletes who were in a larger Registered Testing Pool that it maintained prior to the introduction of IST v.4.0) who may be made subject to lesser whereabouts requirements (e.g. filing of place of residence and regular training, competing and other regular activities, but no specific 60 minute time slot requirement).~~

~~In this manner, a range (or pyramid) of different testing pools may be established by an ADO, with different whereabouts requirements applying to each pool. And any failure to comply with such requirements may be deemed a Whereabouts Failure for purposes of Code Article 2.4.~~

~~The difference arises when it comes to combining Whereabouts Failures declared under different rules. Where an Athlete is in a Registered Testing Pool, only Whereabouts Failures declared against him/her based on rules consistent with this Section 11 are to be combined for purposes of Code Article 2.4. Where the Athlete is in a different testing pool, to which other whereabouts requirements apply, then the rules of the ADO that put him/her in that pool shall determine to what extent Whereabouts Failures declared against the Athlete under other rules shall be combined with Whereabouts Failures declared under that ADO's rules for purposes of Code Article 2.4.]~~

~~11.1.7 The 18 month period referred to in Clause 11.1.6 starts to run on the 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, i.e., if three Whereabouts Failures occur during the 18 month period then a Code Article 2.4 anti-doping rule violation is committed, irrespective of any Samples successfully collected from the 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 "expires" for purposes of Clause 11.1.6.~~

~~[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.~~

~~For purposes of determining whether a Whereabouts Failure has occurred within the 18 month period referred to in Clause 11.1.6:~~

~~a. 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 day that the deadline specified in accordance with Clause 11.3.8 expires; and~~

~~b. a Missed Test will be deemed to have occurred on the date that the Sample collection was unsuccessfully attempted.]~~

~~11.1.8 Transitional arrangements:~~

- ~~a. This January 2009 version of the *International Standard for Testing*, including (without limitation) the provisions relating to the combination of Whereabouts Failures declared by different ADOs for the purposes of *Code Article 2.4*, shall apply in full to all Whereabouts Failures occurring after 1 January 2009.~~

~~*[11.1.8(a) Comment: Nothing in this Standard precludes an ADO prior to 1 January 2009 establishing its Registered Testing Pool for purposes of this Section 11, notifying Athletes that they have been included in that pool, and collecting Whereabouts Filings from them for the quarter beginning 1 January 2009.]*~~

- ~~b. 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 1 January 2009, questions about whether such failures may be combined with each other and/or with post 1 January 2009 Whereabouts Failures for purposes of *Code Article 2.4* shall be determined by reference to *Code Article 25.2*.~~

~~*[11.1.8(b) 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 1 January 2009, 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 1 January 2009 will be combined with Whereabouts Failures committed after 1 January 2009 for purposes of *Code Article 2.4*.]*~~

~~11.2 Requirements for establishing the Registered Testing Pool~~

~~11.2.1 Each IF 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 IF's evaluation of the risks of Out-of-Competition doping in that sport: see Clause 4.2. While such criteria (and therefore the number of Athletes in the Registered Testing Pool) may vary from sport to sport, an IF must be able to demonstrate it has made a proper assessment of the relevant risks and has adopted appropriate criteria based on the results of that assessment.~~

~~[11.2.1 Comment: As a general principle, it is expected that an international Registered Testing Pool will include Athletes who compete regularly at the highest level of international competition (e.g. candidates for Olympic, Paralympic or World Championship medals), determined by rankings or other suitable criteria. In accordance with Clause 4.4.4, an appropriate proportion of the Out-of-Competition tests specified in the IF's Test Distribution Plan must be carried out on Athletes in the international Registered Testing Pool.~~

~~In relation to options for the fixing of the Registered Testing Pool in a Team Sport, see Clause 11.5.1.]~~

~~11.2.2 Each NADO 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 NADO's evaluation of the risks of Out-of-Competition doping in such sports (see Clause 4.3), as well as the national anti-doping policy imperatives referenced in Clause 4.3.1. While such criteria may vary from nation to nation, a NADO must be able to demonstrate it has made a proper assessment of the relevant risks and has adopted appropriate criteria based on the results of that assessment.~~

~~[11.2.2 Comment: As a general principle, unless good reason exists otherwise, it is expected that the national Registered Testing Pool will include (i) Athletes over which the NADO has jurisdiction that have been included in an international Registered Testing Pool; (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 (iii) Athletes who train independently but perform at Olympic/Paralympic or World Championship level and may be selected for such events.~~

~~An example of a reason why a particular Athlete in one of these categories 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.~~

~~In accordance with Clause 4.4.4, where Athletes from a particular sport are included in a national Registered Testing Pool, an appropriate 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 The ADO should include in its Registered Testing Pool (a) those Athletes under its jurisdiction who are serving periods of Ineligibility (see Code Article 10.11); and (b) those Athletes under its jurisdiction who retired at a time when they were in its Registered Testing Pool and who wish to return from that period of retirement to active participation in the sport (see Code Article 5.4). The ADO may also include in its Registered Testing Pool those Athletes under its jurisdiction whom it wishes to target for Testing.~~

~~11.2.4 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. The ADO must advise such Athletes of the change in their status, and publish a new list of Athletes in the Registered Testing Pool, without delay.~~

~~[11.2.4 Comment: see Clause 11.5.2 for a discussion of the application of this Clause 11.2.4 in the context of Registered Testing Pools defined by reference to teams.]~~

~~11.2.5 An Athlete who has been included in a Registered Testing Pool shall continue to be subject to the whereabouts requirements set out in this Section 11 unless and until:~~

- ~~a. he/she has been given written notice by the Responsible ADO that he/she is no longer designated for inclusion in its Registered Testing Pool; or~~
- ~~b. he/she retires from competition in the sport in question in accordance with the applicable rules and gives written notice to his/her IF or NADO or both (as applicable) to that effect.~~

~~[11.2.5(a) Comment: The applicable rules may also require that notice of retirement be sent to the Athlete's National Federation.~~

~~Where an Athlete retires from but then returns to sport, his/her period of retirement/non-availability for Out-of-Competition Testing shall be disregarded for purposes of calculating the 18-month period referred to in Code Article 2.4 and Clause 11.1.5. As a result, Whereabouts Failures committed by the Athlete prior to retirement may be combined, for purposes of Code Article 2.4, with Whereabouts Failures committed by the Athlete after his/her return from retirement/non-availability for Out-of-Competition Testing. For example, if an Athlete committed two Whereabouts Failures in the 12 months prior to his/her retirement, then if he/she commits another Whereabouts Failure in the first six months after his/her return from retirement/non-availability for Out-of-Competition Testing, this amounts to a Code Article 2.4 anti-doping rule violation.]~~

~~11.2.6 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: see Code Article 14.3.~~

11.3 — Whereabouts Filing Requirements

~~[11.3 Comment: ADOs are encouraged to use the ADAMS system to facilitate the information sharing required under this Section 11.~~

~~See Clause 11.5.5 for a discussion of the application of this Clause 11.3 in the context of Team Sports.]~~

~~11.3.1 On a date specified by the Responsible ADO that is prior to the first day of each quarter (i.e. 1 January, 1 April, 1 July and 1 October, respectively), an Athlete in a Registered Testing Pool must file a Whereabouts Filing with his/her IF (if the Athlete has been included in its international Registered Testing Pool) or his/her NADO (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 in both an international Registered Testing Pool and a national Registered Testing Pool, then his/her IF and NADO should seek to agree on who will be responsible for receiving his/her Whereabouts Filings and advise the Athlete accordingly. In the absence of any such agreement, WADA shall determine whether the IF or the NADO shall be responsible. The Athlete should file his/her Whereabouts Filing only with the Responsible ADO, who will then share that information with the Athlete's IF/NADO (as applicable) and other ADOs with jurisdiction to test the Athlete, in accordance with Clause 11.7.3(c). In such cases, it will still be necessary for the IF/NADO (as applicable) that is not the Responsible ADO to notify the Athlete that he/she is also in its Registered Testing Pool, in accordance with Clause 11.7.1(b).]~~

- a. a complete mailing address where correspondence may be sent to the *Athlete* for formal 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 supplement this basic provision with 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). The aim of such provisions should be to shorten the results management timelines set out in Clause 11.6.]*~~

- 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 of the *Athlete's* consent to the sharing of his/her *Whereabouts Filing* with other *ADOs* having authority to test him/her; see *Code Article 14.6*;
- d. for each day during the following quarter, the full address of the place where the *Athlete* will be residing (e.g. home, temporary lodgings, hotel, etc);
- e. for each day during the following quarter, the name and address of each location where the *Athlete* will train, work or conduct any other regular activity (e.g. school), as well as the usual time frames for such regular activities; and

~~*[11.3.1(e) Comment: This requirement applies only to regular activities, i.e. activities that are part of the Athlete's regular routine. For example, if the Athlete's regular routine includes training at the gym, the pool and the track, and regular physio sessions, then the Athlete should provide the name and address of the gym, track, pool and physio in his or her Whereabouts Filing, and then set out his/her usual routine, e.g. "Mondays: 9-11 gym, 13-17 gym; Tuesdays: 9-11 gym, 16-18 gym; Wednesdays: 9-11 track, 3-5 physio; Thursdays: 9-12 gym 16-18 track; Fridays: 9-11 pool 3-5 physio; Saturdays: 9-12 track, 13-15 pool; Sundays: 9-11 track, 13-15 pool".*~~

~~*If the Athlete is not currently training, he/she should specify that in his/her Whereabouts Filing and detail any other routine that he/she will be following in the forthcoming filing period, e.g. 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 and the time frame during which it 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 The Whereabouts Filing must also include, for each day during the following quarter, one specific 60-minute time slot between 6 a.m. and 11 p.m. each day where the Athlete will be available and accessible for Testing at a specific 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). A failure to be available for Testing at the specified location during the specified time slot will be pursued as an apparent Missed Test, in accordance with Clause 11.6.3.]~~

~~11.3.3 When making a 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 but not limited to during the 60-minute time slot specified for that day in the Whereabouts Filing.~~

~~[11.3.3 Comment: The Responsible ADO shall make ADAMS (or another centralized database of similar functionality and security) available to the Athlete or else provide other electronic filing form(s) or paper form(s) to use in making an Whereabouts Filing. 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, and then update that information as necessary in accordance with Clause 11.4.2. ADOs should provide appropriate mechanisms (e.g. phone, fax, Internet, email, SMS) to facilitate the filing of such updates.~~

~~When specifying a location in his/her Whereabouts Filing (whether in his/her original quarterly filing or in an update), 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 Black Forest" are insufficient and are likely to result in a Whereabouts Failure. Similarly, specifying a location that the DCO cannot access (e.g. a "restricted-access" building or area) is likely to result in an unsuccessful attempt to test the Athlete and therefore a Whereabouts Failure.~~

~~In such circumstances, there are several possibilities:~~

- ~~a. Where the ADO is able to determine the insufficiency of the information from the Whereabouts Filing itself, the ADO should pursue such insufficiency as an apparent Filing Failure, in accordance with Clause 11.6.2.~~
- ~~b. Where the ADO only discovers the insufficiency of the information when it attempts to test the Athlete and is unable to locate him/her:
 - ~~i. if the insufficient information relates to the 60-minute time slot, the ADO should pursue the matter as an apparent Missed Test, in accordance with Clause 11.6.3, and/or (where the circumstances warrant) as an evasion of Sample collection under Code Article 2.3, and/or as Tampering or Attempted Tampering with Doping Control under Code Article 2.5; and~~
 - ~~ii. if the insufficient information relates to periods outside the 60-minute time slot, then the ADO should pursue the matter as an apparent Filing Failure, in accordance with Clause 11.6.4, and/or (where the circumstances warrant) as an evasion of Sample collection under Code Article 2.3, and/or as Tampering or Attempting to Tamper with Doping Control under Code Article 2.5.]~~~~

~~11.3.4 Any Athlete who provides fraudulent information in his/her 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, thereby commits an anti-doping rule violation under Code Article 2.3 (evading Sample collection) and/or Code Article 2.5 (Tampering or Attempting to Tamper with Doping Control).~~

~~[11.3.4 Comment: Any decision to treat an incident as evading Sample collection under Code Article 2.3 and/or as Tampering or Attempting to Tamper with Doping Control under Code Article 2.5 shall be without prejudice to the ADO's ability to treat the same incident as a Whereabouts Failure under Code Article 2.4; and vice versa.]~~

~~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 in Clause 11.6.2, 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 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;~~

~~[11.3.5(a) Comment: An Athlete fails to comply with the requirement to make Whereabouts Filings in the following circumstances:~~

- ~~i. when he/she does not make any such filing; or~~
 - ~~ii. where he/she makes the filing (i.e. either the original quarterly filing or an update) but does not include all of the required information (e.g. he/she does not include the place where he/she will be **residing** for each day in the following quarter, or for each day covered by the update, or omits to declare a regular activity that he/she will be pursuing during the quarter, or during the period covered by the update); or~~
 - ~~iii. where he/she includes information (whether in the original quarterly filing or an update) that is inaccurate (e.g. an address that does not exist) or insufficient to enable the ADO to locate him/her for Testing (e.g. "running in the Black Forest"). As noted in the comment to Clause 11.3.3, if the inaccuracy or insufficiency relates to the 60-minute time slot, and is only discovered when an attempt is made to test the Athlete during that time slot, that may be pursued as a Missed Test. In other circumstances, such inaccuracy or insufficiency should be pursued as a Filing Failure.]~~
- ~~e. (in the case of a second or third Filing Failure in the same quarter) that he/she was given notice of the previous Filing Failure in accordance with Clause 11.6.2(a) and failed to rectify that Filing Failure by the deadline specified in that notice; and~~

~~[11.3.5(c) Comment: The purpose of this requirement is to ensure fairness to the Athlete. In the notice of the first Filing Failure that the Responsible ADO sends to the Athlete in accordance with Clause 11.6.2(a), the Responsible ADO must advise the Athlete that, in order to avoid a further Filing Failure, he/she must file the required Whereabouts Filing by the deadline specified in the notice. That deadline may be set by the ADO but it must be no less than 24 hours after receipt of the notice and not later than the end of the month in which the notice is received.]~~

- ~~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: In the event that a Code Article 2.4 anti-doping rule violation is established, the actual degree of fault involved on the part of the Athlete (i.e. negligence or greater) will be relevant to the assessment, under Code Article 10.3.3, of the period of Ineligibility to be imposed.]~~

~~11.3.6 An Athlete in a Registered Testing Pool may choose to delegate the making of some or all of his/her Whereabouts Filings required under Clauses 11.3.1 and 11.3.2 (and/or any updates to his/her Whereabouts Filings required under Clause 11.4.3) to a third party, such as (for example, and depending on the rules of the Responsible ADO) a coach, a manager or a National Federation, provided that the third party agrees to such delegation.~~

~~[11.3.6 Comment: See Clause 11.5.4 for a discussion of the application of this Clause 11.3.6 in the specific context of a Team Sport. For the avoidance of doubt, however, an Athlete in a sport that is not a Team Sport may also delegate the making of his/her Whereabouts Filings to a third party for some or all relevant periods, provided that the third party agrees.~~

~~The Responsible ADO may 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 In all cases, however, including in Team Sports:~~

- ~~a. each Athlete in an Registered Testing Pool remains ultimately responsible at all times for making accurate and complete 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 Code Article 2.4 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 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 Code Article 2.4 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 Whereabouts Filing for the day in question was current and accurate.~~

~~11.4 Availability for Testing~~

~~11.4.1 An Athlete 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 Whereabouts Filing, at the location that the *Athlete* has specified for that time slot in such filing.

~~[11.4.1 Comment: This specific requirement is without prejudice to the Athlete's basic 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.~~

~~To achieve Testing that is effective in deterring and detecting cheating, best practice requires test distribution planning that makes the timing of Testing unpredictable. To achieve this, Testing needs to be attempted at different times of the day. Thus, the intent behind the 60-minute time slot is not to limit Testing to that period, or to create a 'default' period for Testing, but rather:~~

- ~~a. to make it very clear when an unsuccessful attempt to test an Athlete will count as a Missed Test (which helps the Athlete to avoid a Missed Test and helps an ADO, as well as a hearing panel, to determine when there has been a Missed Test);~~
- ~~b. to guarantee that the Athlete can be found, and a Sample can be collected, at least once per day (which should deter cheating, or, as a minimum, make it far more difficult);~~
- ~~c. to increase the reliability of the rest of the whereabouts information provided by the Athlete, and so to assist the ADO in locating the Athlete for Testing outside the 60-minute time slot:
 - ~~i. The 60-minute time slot "anchors" the Athlete to a certain location for a particular day. Combined with the information that the Athlete must provide as to where he/she is residing, training, competing and conducting other 'regular' activities during that day, the ADO should be able to locate the Athlete for Testing outside the 60-minute time slot, or alternatively to determine whether the information provided as to his/her whereabouts outside that time slot is incomplete and/or inaccurate (which may be pursued, depending on the circumstances, as a Filing Failure under Code Article 2.4, a sample evasion case under Code Article 2.3, and/or a Tampering case under Code Article 2.5).~~
 - ~~ii. It is of course in the interests of the Athlete to provide as much information as possible about his/her whereabouts outside the 60-minute time slot, so that ADOs are able to test him/her outside the 60-minute time slot and therefore he/she never risks liability for a Missed Test; and~~~~
- ~~d. to generate useful anti-doping intelligence, e.g. if the Athlete regularly specifies time slots with large gaps between them, and/or changes his time slot and/or location at the last minute. Such intelligence can be relied upon as a basis for the Target Testing of such Athlete.]~~

~~11.4.2 It is the Athlete's responsibility to ensure (including by updates, where necessary) that the whereabouts information provided in his/her Whereabouts Filing is sufficient to enable any ADO to locate him/her for Testing on any given day in the quarter, including but not limited to during the 60-minute time slot specified for that day in his/her Whereabouts Filing. Where any change in circumstances means that the information previously provided by or on behalf of the Athlete (whether in the initial Whereabouts Filing or in any subsequent update) is no longer accurate or complete (i.e. it is not sufficient to enable any ADO to locate the Athlete for Testing on any given day in the relevant quarter, including but not limited to during the 60-minute time slot that he/she has specified for that day), the Athlete must update his/her 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. A failure to do so shall have the following consequences:~~

- ~~a. if, as a result of such failure, an ADO's attempt to test the Athlete during the 60-minute time slot is unsuccessful, then the unsuccessful attempt shall be pursued as an apparent Missed Test in accordance with Clause 11.6.3; and~~
- ~~b. if the circumstances so warrant, the failure may be pursued as evasion of Sample collection under Code Article 2.3, and/or Tampering or Attempted Tampering with Doping Control under Code Article 2.5; and~~
- ~~c. in any event, the ADO shall consider Target Testing of the Athlete.~~

~~[11.4.2 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 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 must still submit to Testing during the original 60-minute time slot, if he/she is located for Testing during that original 60-minute time slot.~~

~~An update of the 60-minute time slot may be made at any time up until the beginning of the time slot. In appropriate circumstances, however, last-minute updates by an Athlete may be pursued as a possible anti-doping rule violation of evading Sample collection under Code Article 2.3 and/or Tampering (or Attempting to Tamper) with Doping Control under Code Article 2.5.~~

~~If an update is filed by the Athlete, but the updated information filed is incomplete, or inaccurate, or insufficient to enable the ADO to locate the Athlete, then it may be pursued as a Filing Failure in accordance with Clause 11.3.5(b).]~~

~~11.4.3 An Athlete may only be declared to have committed a Missed Test where the Responsible ADO, following the results management procedure set out in Clause 11.6.3, 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 his/her liability for a Missed Test if he/she was unavailable for Testing during the 60 minute time slot specified in his/her Whereabouts Filing at the location specified for that time slot;~~
- ~~b. that a DCO attempted to test the Athlete on a given day in the quarter, during the 60 minute time slot specified in the Athlete's Whereabouts Filing for that day, by visiting the location specified for that time slot;~~

~~[11.4.3(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 an unsuccessful attempt to 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 Sample collection under Code Article 2.3 or Code Article 2.5. It may also prompt Target Testing of the Athlete.~~

~~If located for Testing, 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;~~

~~[11.4.3(c) Comment: Once the DCO has arrived at the location specified for the 60 minute time slot, if the Athlete cannot be located immediately then the DCO should remain at that location for whatever time is left of the 60 minute time slot and during that remaining time he/she should do what is reasonable in the circumstances to try to locate the Athlete.]~~

- ~~d. that the provisions of Clause 11.4.4 (if applicable) 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 been negligent upon proof of the matters set out at sub Clauses 11.4.3(a) to (d). 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) failing to update his/her most recent 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.~~

~~[11.4.3(e) Comment: In the event that a Code Article 2.4 anti-doping rule violation is established, the actual degree of fault involved on the part of the Athlete (i.e. whether negligence or greater) will be relevant to the assessment, under Code Article 10.3.3, of the period of Ineligibility to be imposed.]~~

~~11.4.4 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 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 11.6.3(b), of the original unsuccessful attempt.~~

~~11.5 Team Sports~~

~~[11.5 Comment: During the 2007-08 consultation phase on revisions to the 2007 Version 3.0 of the International Standard for Testing, a common theme of many of the submissions made by Team Sports was that any harmonised whereabouts system needs to be flexible enough to reflect the fact that Team Sports are organized and carried out on a team basis rather than on an individual basis, with most of the activities carried out in pursuit of that sport being conducted on a collective basis rather than on an individual basis. The purpose of this Clause 11.5 is to reflect that characteristic of Team Sports by allowing for a Registered Testing Pool to be defined by reference to teams. It also allows for whereabouts information in relation to Athletes on such teams to be submitted on a collective basis, with information as to the team's collective activities being supplemented by submission of individual whereabouts information for periods when the Athletes are not with the team. In line with the systems implemented in 2004-2007 in Team Sports such as water polo and rugby union, the individual Athlete remains personally responsible at all times for the accuracy of that whereabouts information and for making him/herself available for Testing at such whereabouts.]~~

~~11.5.1 An IF of a Team Sport may define its Registered Testing Pool by reference to teams, i.e. so that the Athletes in its Registered Testing Pool are some or all of the Athletes on particular teams within the relevant period.~~

~~[11.5.1 Comment: For example, an IF may choose to define its Registered Testing Pool by reference to its top-ranked national representative teams at any given time. In a year in which that IF's World Championships are played, it may choose to expand its Registered Testing Pool to include all of the national representative teams that have qualified to compete in the World Championships. In accordance with Clause 11.7.5, the IF may delegate the responsibility for collecting such Athletes' whereabouts information to the relevant National Federations.]~~

~~A NADO that includes a Team Sport within its national Registered Testing Pool may take the same approach.]~~

~~11.5.2 In such circumstances, in accordance with Clause 11.2.4, to reflect the fact that membership of a team may change regularly, the IF shall issue rules addressing changes in the composition of the Registered Testing Pool during the relevant period.~~

~~[11.5.2 Comment: For example, in a Team Sport where a Registered Testing Pool is identified by reference to national representative teams, the IF might fix membership by reference to the Athletes included in the last national representative squad selected prior to the quarter in question. If a new squad is selected during the quarter that is different in composition from the prior squad, the IF's rules will determine whether the changes are reflected immediately (e.g., any Athlete from the first squad who is not in the second squad drops out of the Registered Testing Pool with immediate effect) or alternatively as of the beginning of the next quarter (i.e., the Athlete not in the second squad remains in the Registered Testing Pool until the end of the quarter).]~~

~~11.5.3 In a Team Sport where the Registered Testing Pool is defined by reference to teams, Athletes on the designated teams are likely to carry out most of their sporting activities (e.g., training, travelling, tactical sessions) on a collective basis. Accordingly, much of the whereabouts information required under Clause 11.3 will be the same for all of the Athletes on the team. Furthermore, on occasions when an Athlete on a team is not participating in a scheduled team collective activity (e.g. because of injury), he/she is likely to be pursuing other activities under the supervision of his/her team (e.g. treatment by a team doctor). Such team-based activities, collective or otherwise, shall be known, for purposes of this International Standard for Testing, as "Team Activity".~~

~~11.5.4 An Athlete who is included in a Registered Testing Pool by reference to the fact that he/she plays for a particular team is subject to the same individual whereabouts requirements set out in this Section 11 as an Athlete who is~~

~~included in a Registered Testing Pool by reference to some other criterion. In accordance with Clauses 11.3.6 and 11.3.7, however, in the circumstances outlined in Clause 11.5.3 the Athlete may delegate the task of making some or all of the Whereabouts Filings required under Clauses 11.3.1 and 11.3.2 (and/or any updates to Whereabouts Filings required under Clause 11.4.2) to the team, to be carried out by (for example, depending on the rules of the Responsible ADO) a coach, a manager or a National Federation.~~

~~*[11.5.4 Comment: For the avoidance of doubt, for the sake of convenience and efficiency, an Athlete in a Team Sport may delegate the making of his/her Whereabouts Filings to his/her team not only in respect of periods of Team Activity but also in respect of periods where he/she is not with the team, provided the team agrees. In such circumstances, it will be necessary for the Athlete to provide the information as to his/her individual whereabouts for the period in question to the team, to supplement the information it provides in relation to Team Activities.*~~

~~*In those Team Sports where an Athlete may play for more than one team, and therefore may be involved in Team Activity for more than one team in any given filing period, clear provision should be made in the relevant rules for the collection and submission of the information required under Clause 11.3. For example, where an IF defines its Registered Testing Pool by reference to national representative teams, the Athletes on such teams may spend much of their time with their national representative teams, competing in International Events, but they may also spend a significant amount of time with their clubs, competing in domestic and/or regional Events. In such circumstances, the National Federation should collect the information as to the Athlete's Team Activities for his/her club and include it in the Whereabouts Filing alongside the information as to the national representative team's Team Activities and the Athlete's individual whereabouts information for the relevant period.]*~~

~~11.5.5 In the circumstances identified in Clause 11.5.4, the team (e.g. the National Federation) may make the Whereabouts Filing on behalf of its Athletes, providing the information required under Clause 11.3, as follows:~~

- ~~a. a complete mailing address for formal notice purposes, in accordance with Clause 11.3.1(a). Where agreed with the Athlete, this notice may be sent care of the team.~~
- ~~b. the information specified in Clauses 11.3.1(b), (c), (d) and (f);~~
- ~~c. for each day in the following quarter, the time(s) each day of any Team Activity, whether that is a collective activity (e.g. training) or an individual activity under the supervision of the team (e.g. medical treatment), along with the venue and any other details required in order for the Athlete to be located during the time(s) in question; and~~

~~[11.5.5(c) Comment:—If the Athlete conducts other regular activities outside Team Activities (e.g., he is an amateur Athlete and therefore also works or goes to school), then the locations and time frames of such other regular activities should also be disclosed, in accordance with Clause 11.3.1(e).]~~

- ~~d. for each day in the following quarter, one specific 60-minute time slot between 6 a.m. and 11 p.m. where the Athlete will be available and accessible for Testing at a specific location. For the avoidance of doubt, this 60-minute time slot may be during any Team Activity conducted on the day in question.~~

~~11.5.6 For Athletes in Registered Testing Pools in Team Sports, liability for Filing Failures shall be determined in accordance with Clause 11.3.5, and liability for Missed Tests shall be determined in accordance with Clause 11.4.2. In accordance with Clause 11.3.7:~~

- ~~a. if the team does not make a required Whereabouts Filing, or makes the Whereabouts Filing but does not include all of the required information, then (subject to the requirements of Clause 11.3.5) the Athlete will be liable for a Filing Failure under Code Article 2.4; and~~
- ~~b. if any of the required information changes after a Whereabouts Filing is made, then in accordance with Clause 11.4.2 an update must be filed so that the Whereabouts Filing remains accurate at all times. If an update is not made, and as a result an attempt to test the Athlete during the 60-minute time slot is unsuccessful, then (subject to the requirements of Clause 11.4.3) the Athlete will be liable for a Missed Test under Code Article 2.4.~~

~~[11.5.6 Comment:—For example, if an attempt to test an Athlete during a 60-minute time slot designated within a particular Team Activity period is unsuccessful due to a team official filing the wrong information in relation to the Team Activity, or failing to update previously filed information where the details of the Team Activity have subsequently changed, the team may be liable for sanction under the applicable rules of the IF for such failure, but the Athlete him/herself will still be liable (assuming that the requirements of Clause 11.4.3 are satisfied) for a Missed Test. This must be the case because if an Athlete is able to blame his/her team if he/she is not available for Testing at a location declared by his team, then he/she will be able to avoid accountability for his/her whereabouts for Testing. Of course the team has the same interest as the Athlete in ensuring the accuracy of the Whereabouts Filing and avoiding any Whereabouts Failures on the part of the Athlete.]~~

~~11.5.7 In accordance with Clause 11.1.6, in addition to maintaining a Registered Testing Pool in accordance with the foregoing provisions of this International Standard for Testing, January 2012~~ ~~101 of 167~~ ~~2015~~
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Clause 11.5, an ADO in a Team Sport may establish one or more further testing pool(s) for other teams/Athletes under its jurisdiction, and may apply different whereabouts requirements to such pool(s) for purposes of Code Article 2.4.

~~[11.5.7 Comment: A good example of such an additional pool is the whereabouts pool maintained by the Football Association in England in the period 2006-08, consisting of all Athletes playing for certain teams. Under the FA's approach, which has been identified by FIFA and the IFs of certain other Team Sports as a useful model, a team designated for inclusion in such pool is responsible for making periodic whereabouts filings with the Football Association, declaring the names of the Athletes registered with the team and the team's training and competition schedule for the following period. In other words, the Football Association is advised of the collective whereabouts of the team during the Team Activities referred to in Clause 11.5.3. If an attempt is then made to test an Athlete on that team during such a Team Activity and the Athlete in question is not available for Testing at the specified location, then the Athlete is investigated for a potential Missed Test. If upon investigation it is determined that the Athlete was not available for Testing because the team failed to provide accurate information as to the Athlete's participation in and/or the location of the relevant Team Activity to the Football Association, then the team rather than the Athlete is subject to sanction. Otherwise, however, absent exceptional circumstances a Missed Test is declared against the Athlete.~~

~~Nothing in this Standard is intended to prevent ADOs in Team Sports from maintaining pools of this type, applying whereabouts requirements of this type. For the avoidance of doubt, this is to be done in addition to (not instead of) maintaining a Registered Testing Pool in accordance with the foregoing provisions of this Clause 11.5, to which the full requirements of this Section 11 apply.]~~

11.6—Results Management

~~11.6.1 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 Clause 11.6 shall apply.~~

~~11.6.2 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 discovery of the apparent Filing Failure the Responsible ADO must send notice to the Athlete in question of the apparent Filing Failure, inviting a response within 14 (fourteen) days of receipt of the notice. In the notice, the Responsible ADO should warn the Athlete:~~

- ~~i. that unless the *Athlete* persuades the Responsible ADO that there has not been any Filing Failure, then (subject to the remainder of the results management process set out below) an alleged Whereabouts Failure will be recorded against the *Athlete*; and~~
- ~~ii. of the consequences to the *Athlete* if a hearing panel upholds the alleged Whereabouts Failure.~~

~~*[11.6.2(a)(ii) Comment: The notice should advise the Athlete whether any other Whereabouts Failures have been alleged against him/her in the 18-month period prior to this alleged Whereabouts Failure.]*~~

- ~~b. Where the *Athlete* disputes the apparent Filing Failure, the Responsible ADO must re-assess whether all of the Clause 11.3.5 requirements are met. 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 it maintains there has been a Filing Failure.~~

~~*[11.6.2(b) Comment: Any notice sent to an Athlete pursuant to Clause 11.6.2(b) agreeing that there has not been any Filing Failure shall also be sent to WADA and any other party/ies with a right of appeal under Code Article 13, and may be appealed by WADA and/or such other party/ies in accordance with that Article.]*~~

- ~~c. If no response is received from the *Athlete* by the relevant deadline, or if the Responsible ADO maintains (notwithstanding the *Athlete's* response) that there has been a Filing Failure, the Responsible ADO shall send notice to the *Athlete* that an alleged Filing Failure is to be recorded against him/her. The Responsible ADO shall at the same time advise the *Athlete* that he/she has the right to an administrative review of that decision;~~
- ~~d. 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 alleged Filing Failure. The review 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;~~

~~*[11.6.2(d) 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 alleged Filing Failure.]*~~

- e. ~~If it appears, upon such review, 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~~

~~*[11.6.2(e) Comment: Any notice sent to an Athlete pursuant to Clause 11.6.3(e), agreeing that there has been no Filing Failure, shall also be sent to WADA and any other party/ies with a right of appeal under Code Article 13, and may be appealed by WADA and/or such party/ies in accordance with that Article.]*~~

- f. ~~If the Athlete does not request an administrative review of the alleged Filing Failure by the relevant deadline, or if the administrative review leads to the conclusion that all of the requirements of Clause 11.3.5 have been met, then the Responsible ADO shall record an alleged Filing Failure against the Athlete and shall notify the Athlete and (on a confidential basis) WADA and all other relevant ADOs of that alleged Filing Failure and the date of its occurrence.~~

~~*[11.6.2(f) Comment: For the avoidance of doubt, the Responsible ADO is not precluded from notifying other relevant ADOs (on a strictly 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).*~~

~~*The Clause 11.6.2(f) notice should again advise the Athlete whether any other Whereabouts Failures have been alleged against him/her in respect of the 18-month period prior to this alleged Filing Failure.]*~~

~~11.6.3 The results management process in the case of an apparent Missed Test shall be as follows:~~

- a. ~~The DCO shall file an Unsuccessful Attempt Report with his/her ADO, setting out the details of the attempted Sample collection, including the date of the attempt, 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.~~

~~*[11.6.3(a) Comment: WADA will make a template Unsuccessful Attempt Report available for use/adaptation by ADOs. When commissioning another ADO to conduct a test on its behalf, the commissioning ADO may specify a deadline for the submission to it of an Unsuccessful Attempt Report.]*~~

~~b. If it appears that all of the Clause 11.4.3 requirements relating to Missed Tests are satisfied, then no later than 14 (fourteen) days after the date of the unsuccessful attempt, the Responsible ADO (i.e. the ADO on whose behalf the test was attempted) must send notice to the Athlete of the unsuccessful attempt, inviting a response within 14 (fourteen) days of receipt of the notice. In the notice, the Responsible ADO should warn the Athlete:~~

~~i. that unless the Athlete persuades the Responsible ADO that there has not been any Missed Test, then (subject to the remainder of the results management process set out below) an alleged Missed Test will be recorded against the Athlete; and~~

~~ii. of the consequences to the Athlete if a hearing panel upholds the alleged Missed Test.~~

~~*[11.6.3(b)(ii) Comment:—The notice should also advise the Athlete whether any other Whereabouts Failures have been declared against him/her in the 18-month period prior to this alleged Missed Test. (See also comment to Clause 11.6.3(d)).]*~~

~~c. Where the Athlete disputes the apparent Missed Test, the Responsible ADO must re-assess whether all of the Clause 11.4.3 requirements are met. 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 it maintains that there has been a Missed Test.~~

~~*[11.6.3(c) Comment:—WADA intends to issue guidelines relating to the assessment of unsuccessful attempts, including what explanations may or may not excuse an apparent Missed Test.*~~

~~*Any notice sent to an Athlete pursuant to Clause 11.6.3(c), agreeing that there has been no Missed Test, shall also be sent to WADA and any other party/ies with a right of appeal under Code Article 13, and may be appealed by WADA and/or such party/ies in accordance with that Article.]*~~

~~d. If no response is received from the Athlete by the relevant deadline, or if the Responsible ADO maintains (notwithstanding the Athlete's response) that there has been a Missed Test, the Responsible ADO shall send notice to the Athlete that an alleged Missed Test is to be recorded against him/her. The Responsible 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. The Unsuccessful Attempt Report must be provided to the Athlete at this point if it has not been provided earlier in the process.~~

~~*[11.6.3(d) Comment: The ADO may provide the Unsuccessful Attempt Report to the Athlete prior to this stage if it so chooses (i.e. when it sends the initial notice in accordance with Clause 11.6.3(b)), or it may initially provide only the basic details of the apparent Missed Test, holding back the full Unsuccessful Attempt Report to be provided only at this stage.]*~~

- e. ~~Where requested, such administrative review shall be conducted by a designee of the Responsible ADO who was not involved in the previous assessment of the alleged Missed Test, shall be based on written submissions alone, and shall consider whether all of the requirements of Clause 11.4.3 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.~~

~~*[11.6.3(e) 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 alleged Missed Test.]*~~

- f. ~~If it appears to the designee that the requirements of Clause 11.4.3 have not been met, then the unsuccessful attempt to test the Athlete shall not be treated as a Missed Test for any purpose; and~~

~~*[11.6.3(f) Comment: Any notice sent to an Athlete pursuant to Clause 11.6.3(f), agreeing that there has been no Missed Test, shall also be sent to WADA and any other party/ies with a right of appeal under Code Article 13, and may be appealed by WADA and/or such party/ies in accordance with that Article.]*~~

- g. ~~If the Athlete does not request an administrative review of the alleged Missed Test by the relevant deadline, or if the administrative review leads to the conclusion that all of the requirements of Clause 11.4.3 have been met, then the Responsible ADO shall record an alleged Missed Test against the Athlete and shall notify the Athlete and (on a confidential basis) WADA and all other relevant ADOs of that alleged Missed Test and the date of its occurrence.~~

~~*[11.6.3(g) Comment: For the avoidance of doubt, the ADO that attempted the test is not precluded from notifying other relevant ADOs (on a strictly 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).]*~~

~~The Clause 11.6.3(g) notice should again advise the Athlete whether any other Whereabouts Failures have been alleged against him/her in respect of the 18-month period prior to this alleged Missed Test.~~

~~Whenever such notice is received, if the ADO with results management responsibility, as determined by Clause 11.7.5, is different from the ADO that attempted the test, then the ADO with results management responsibility 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 establish a Whereabouts Failure under Code Article 2.4. The reviewing 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 alleged Whereabouts Failures within any one 18-month period before raising any concern. Any decision by the reviewing ADO that a Whereabouts Failure recorded by another ADO should be disregarded for lack of sufficient evidence shall be communicated to the other ADO and to WADA, shall be without prejudice to WADA's right of appeal under Code Article 13, and in any event shall not affect the validity of any other Whereabouts Failures declared against the Athlete in question.]~~

~~11.6.4 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 Code Article 2.4 based on (among other things) such Whereabouts Failure. Such persons who need to know shall also maintain the confidentiality of such information until the same point.~~

~~[11.6.4 Comment: This shall not preclude an ADO from publishing a general statistical report of its activities that discloses in general terms 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. An ADO should not disclose that a particular Athlete does (or does not) have any Whereabouts Failures alleged against him/her (or that a particular sport does, or does not, have Athletes with Whereabouts Failures alleged against them).]~~

~~11.6.5 The Responsible ADO shall keep a record of all Whereabouts Failures alleged in respect of each Athlete within its Registered Testing Pool. Where it is alleged that such an Athlete has committed 3 (three) Whereabouts Failures within any 18-month period:~~

- ~~a. Where two or more of those Whereabouts Failures were alleged by an ADO that had the Athlete in its Registered Testing Pool at the time of those failures, then that ADO (whether the IF or a NADO) shall be the Responsible ADO for purposes of bringing proceedings against the~~

~~Athlete under Code Article 2.4. If not (for example, if the Whereabouts Failures were alleged 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 IF.~~

~~[11.6.5(a) Comment:—The Responsible ADO shall have the right to receive, from any other ADO that has recorded one of the alleged Whereabouts Failures, such further information about that alleged Whereabouts Failure as the Responsible ADO may reasonably require in order to assess the strength of the evidence of such alleged Whereabouts Failure and to bring proceedings under Code Article 2.4 in reliance thereon. If the Responsible ADO decides in good faith that the evidence in relation to such alleged Whereabouts Failure(s) is insufficient to support such proceedings under Code Article 2.4, then it may decline to bring proceedings based on such alleged Whereabouts Failure(s). Any decision by a Responsible ADO that a declared Whereabouts Failure should be disregarded for lack of sufficient evidence shall be communicated to the other ADO and to WADA, shall be without prejudice to WADA's right of appeal under Code Article 13, and in any event shall not affect the validity of the other Whereabouts Failures alleged against the Athlete in question.]~~

~~b. Where the Responsible ADO fails to bring proceedings against an Athlete under Code Article 2.4 within 30 (thirty) days of WADA receiving notice of that Athlete's third alleged 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 Code Article 13 (in particular Article 13.2).~~

~~[11.6.5(b) Comment:—In such circumstances, the ADO(s) that alleged such Whereabouts Failure(s) must provide to WADA, upon request, such further information about the alleged Whereabouts Failure(s) as WADA shall reasonably require in order to assess the strength of the evidence of such alleged Whereabouts Failure(s) and (where it deems it appropriate) to bring an appeal in accordance with Code Article 13.]~~

~~11.6.6 An Athlete alleged to have committed an anti-doping rule violation under Code Article 2.4 shall have such allegation determined at a full evidentiary hearing in accordance with Code Article 8. The hearing panel 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 alleged Whereabouts Failure.~~

~~[11.6.6 Comment: Nothing in Clause 11.6.6 is intended to prevent the ADO challenging an argument raised on the Athlete's behalf at the hearing on the basis that it could have been but was not raised at an earlier stage of the results management process.~~

~~The ADO that brings proceedings against an Athlete under Code Article 2.4 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 Code Article 7.5.2.~~

~~If the hearing panel decides that one (or two) alleged Whereabouts Failures have been established to the required standard, but that the third alleged Whereabouts Failure has not, then no Code Article 2.4 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 hearing panel in the previous proceedings (in accordance with Code Article 3.2.3) and the Whereabouts Failure(s) subsequently committed by the Athlete.~~

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

- ~~a. imposition of a period of Ineligibility in accordance with Code Article 10.3.3 (first violation) or Code Article 10.7 (second violation); and~~
- ~~b. in accordance with Code Article 10.8, Disqualification (unless fairness requires otherwise) of all individual results obtained by an 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 hearing panel to have occurred.~~

~~The impact of any Code 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 Code Article 11.]~~

~~11.7 Whereabouts Responsibilities of Anti-Doping Organizations~~

~~11.7.1 The IF is responsible for the following:~~

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- ~~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 *Code* Article 14.3 and Clause 11.2;~~
- ~~b. notifying each *Athlete* designated for inclusion in the international *Registered Testing Pool*, either directly or through the National Federation or Olympic/Paralympic Committee to which the IF has delegated 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. agreeing with the *NADO*, in accordance with Clause 11.3.1, which of them shall take responsibility for receiving the Whereabouts Filings of *Athletes* who are in both the *NADO's* national *Registered Testing Pool* and the IF's international *Registered Testing Pool*;~~
- ~~d. establishing a workable system for the collection, maintenance and sharing of Whereabouts Filings, 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 and security);~~
 - ~~ii. the information can be accessed by (A) authorized individuals acting on behalf of the IF on a need to know basis only; (B) *WADA*; and (C) other *ADOs* with *Testing* jurisdiction over the *Athlete*, in accordance with *Code* Article 14.3; and~~
 - ~~iii. the information is maintained in strict confidence at all times, is used by the IF 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;~~~~

~~e. conducting results management in accordance with Clause 11.6 in respect of:~~

~~i. any apparent 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 files his/her Whereabouts Filing with the *NADO*, in which case it will be the *NADO* that conducts results management in respect of any apparent Filing Failure by that *Athlete*); and~~

~~ii. any apparent Missed Test in respect of such *Athlete*, where the unsuccessful attempt to test the *Athlete* was made on behalf of the IF; and~~

~~f. in the circumstances specified in Clause 11.6.5(a), bringing disciplinary proceedings against an *Athlete* under *Code* Article 2.4.~~

~~11.7.2 Notwithstanding Clause 11.7.1:~~

~~a. an IF may propose, and a *NADO* may agree to, the delegation of some or all of the responsibilities set out in sub-Clauses 11.7.1(b) to (e) to the *NADO*;~~

~~b. an IF may delegate some or all of the responsibilities set out in Clause 11.7.1 to the *Athlete's National Federation*; or~~

~~c. where *WADA* determines that the IF is not discharging some or all of its responsibilities set out in Clause 11.7.1, *WADA* may delegate some or all of those responsibilities to any other appropriate *ADO*.~~

~~11.7.3 The *NADO* 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 *Code* Article 14.3 and Clause 11.2;~~

~~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. agreeing with the IF, in accordance with Clause 11.3.1, which of them shall take responsibility for receiving the Whereabouts Filings of *Athletes* who are in both the *NADO's national Registered Testing Pool* and the IF's international Registered Testing Pool;~~
 - ~~d. establishing a workable system for the collection, maintenance and sharing of 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 *NADO* 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 *Code Article 14.3*; and~~
 - ~~iii. the information is maintained in strict confidence at all times, is used by the *NADO* 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;~~~~
 - ~~e. conducting results management in accordance with Clause 11.6 in respect of:
 - ~~i. any apparent Filing Failure on the part of an *Athlete* in the national *Registered Testing Pool* (unless the *Athlete* is also in an international *Registered Testing Pool* and files his/her Whereabouts Filing with the IF, in which case it will be the IF that conducts results management in respect of any apparent Filing Failure by that *Athlete*); and~~~~

- ii. ~~any apparent Missed Test in respect of such Athlete, where the unsuccessful attempt to test the Athlete was made on behalf of the NADO; and~~
- f. ~~in the circumstances specified in Clause 11.6.5(a), bringing disciplinary proceedings against an Athlete under Code Article 2.4.~~

~~11.7.4 Notwithstanding Clause 11.7.3:~~

- a. ~~a NADO may delegate some or all of the responsibilities set out in Clause 11.7.3 to the relevant Athlete's National Federation or other appropriate ADO with authority over the Athlete in question;~~
- b. ~~where no appropriate NADO exists, the National Olympic Committee shall assume the responsibilities of the NADO set out in Clause 11.7.3; and~~
- c. ~~where WADA determines that the responsibilities set out in Clause 11.7.3 are not being properly exercised, WADA may delegate some or all of those responsibilities to any other appropriate ADO.~~

~~11.7.5 In addition to any specific responsibilities delegated to it in accordance with Clause 11.7.2 or Clause 11.7.4, a National Federation must use its best efforts to assist the Responsible ADO in collecting Whereabouts Filings from Athletes within that National Federation's jurisdiction, including (without limitation) making special provision in its rules for that purpose.~~

~~11.7.6 Any ADO with Testing jurisdiction over an Athlete in a Registered Testing Pool (see Code Article 15):~~

- a. ~~may access that Athlete's Whereabouts Filings, as filed with his/her IF or NADO, for use in conducting such Testing, in accordance with Code Article 14.3, 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 Code Article 15.2, 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 information from the most current 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 11.4.3(d);~~
- ~~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 11.6.3;~~

~~11.7.6(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 unsuccessful attempts promptly to the Responsible ADO for the Athlete in question, in accordance with Clause 11.4.3(h); 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.~~

12.3.5 Athletes and Athlete Support Personnel are required under Code Article 21 to cooperate with investigations conducted by Anti-Doping Organizations. If they fail to do so, disciplinary action should be taken against them under applicable rules. If their conduct amounts to subversion of the investigation process (e.g., by providing false, misleading or incomplete information, and/or by destroying potential evidence), the Anti-Doping Organization should bring proceedings against them for violation of Code Article 2.5 (Tampering or Attempted Tampering).

12.4 Investigation outcomes

12.4.1 The Anti-Doping Organization shall come to a decision efficiently and without undue delay as to whether proceedings should be brought against the Athlete or other Person asserting commission of an anti-doping rule violation. As set out in Code Article 13.3, if an Anti-Doping Organization fails to make such decision within a reasonable deadline set by WADA, WADA may elect to appeal directly to CAS as if the Anti-Doping Organization had rendered a decision finding that no anti-doping rule violation has been committed. As

noted in the comment to Code Article 13.3, however, before taking such action WADA will consult with the Anti-Doping Organization and give it an opportunity to explain why it has not yet rendered a decision.

12.4.2 Where the Anti-Doping Organization concludes based on the results of its investigation that proceedings should be brought against the Athlete or other Person asserting commission of an anti-doping rule violation, it shall give notice of that decision in the manner set out in Code Articles 7.4 to 7.6 (as applicable) and shall bring the proceedings against the Athlete or other Person in question in accordance with Code Article 8.

12.4.3 Where the Anti-Doping Organization concludes, based on the results of its investigation, that proceedings should not be brought against the Athlete or other Person asserting commission of an anti-doping rule violation:

- a) It shall notify WADA and the Athlete's or other Person's International Federation and National Anti-Doping Organization in writing of that decision, with reasons, in accordance with Code Article 14.1.4.
- b) It shall provide such other information about the investigation as is reasonably required by WADA and/or the International Federation and/or National Anti-Doping Organization in order to determine whether to appeal against that decision.
- c) In any event, it shall consider whether any of the intelligence obtained and/or lessons learned during the investigation should be used to inform the development of its Test Distribution Plan and/or to plan Target Testing, and/or should be shared with any other body in accordance with Article 11.4.2.

PART ~~THREE~~FOUR: ANNEXES

Annex A - Investigating a ~~possible~~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 properly assessed, documented and acted upon.

A.2 Scope

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

A.3 Responsibility

A.3.1 The ADO Testing Authority is responsible for ensuring that:

- a) ~~An investigation of~~when the possible Failure to Comply ~~is instigated~~comes to its attention, it notifies WADA, and instigates an investigation of the possible Failure to Comply based on all relevant information and documentation~~;~~;
- b) ~~The~~the *Athlete* or other party is informed of the possible Failure to Comply in writing and has the opportunity to respond~~;~~;
- c) ~~The~~the investigation is conducted without unnecessary delay and the evaluation process is documented~~;~~; and
- d) ~~The~~the final determination (i.e., whether or not to assert the commission of an anti-doping rule violation), with reasons, is made available ~~to~~without delay to WADA and other ADOs/Anti-Doping Organizations in accordance with ~~the Code.~~ Articles 7.10 and 14.1.4.

A. 3.2 The DCO is responsible for:

- a) ~~Informing~~ informing the *Athlete* or other party of the ~~consequences~~Consequences of a possible Failure to Comply~~;~~;
- b) ~~Completing~~ completing the *Athlete's Sample Collection Session* where possible~~;~~; and

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c) ~~Providing~~ providing a detailed written report of any possible Failure to Comply.

A.3.3 Sample Collection Personnel are responsible for:

a) ~~Informing~~ informing the *Athlete* or other party of the ~~consequences~~ Consequences of a possible Failure to Comply; ~~and~~

b) ~~Reporting~~ 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 ADOTesting Authority as soon as practicable.

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

~~a) Of~~ a) of the possible ~~consequences~~; Consequences; ~~and~~

~~b) That~~ ab) that the potential Failure to Comply will be investigated by the ADOTesting Authority 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 ADOTesting Authority 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~~Impairments

B.1 Objective

To ensure that the ~~special~~particular needs of *Athletes* with ~~disabilities~~impairments are considered, ~~where possible,~~ in relation to the provision of a *Sample*, where possible, 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~~impairments and ends with modifications to *Sample* collection procedures and equipment where necessary and where possible.

B.3 Responsibility

B.3.1 The ~~ADO~~Sample Collection Authority 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.~~ an impairment.

B.3.2 The DCO has responsibility for *Sample* collection.

B.4 Requirements

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

[Comment to B.4.1: For example, it may be appropriate, in the case of an Athlete with an intellectual impairment, to obtain consent to Testing from his/her representative.]

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

B.4.3 The Sample Collection Authority and 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 An *Athlete* with an intellectual, physical or sensorial ~~disability~~ impairment ~~can~~ may be assisted by the *Athlete's* representative or *Sample Collection Personnel* during the *Sample Collection Session* where ~~authorised~~ authorized by the *Athlete* and agreed to by the *DCO*.

B.4.5 The *DCO* ~~can~~ may 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.4.6 *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: prior to collection of the *Sample*. The catheter or drainage system is not a required part of *Sample Collection Equipment* to be provided by the *Sample Collection Authority*; instead it is the responsibility of the *Athlete* to have the necessary equipment available for this purpose.

B.4.7 The *DCO* will record modifications made to the standard *Sample* collection procedures for *Athletes* with ~~disabilities~~ impairments, including any applicable modifications specified in the above actions.

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

C.1 Objective

To ensure that the particular needs of *Athletes* who are *Minors* are met, in relation to the provision of a *Sample*, where possible, 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 Testing Authority 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 necessary that the organiser of the Event obtains the necessary parental consent ~~clauses are in place when arranging for Testing at an Event.~~ any participating Athlete who is a Minor.

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 Sample Collection Authority 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 Sample Collection Authority 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~~ should be notified in the presence of an adult, and may choose to be accompanied by a representative throughout the entire Sample Collection Session. The representative shall not witness the passing of a urine *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 Sample Collection

Authority, DCO or Chaperone, as applicable, shall consider whether ~~a~~another third party ought to be present during notification of and/or collection of the *Sample* from the *Athlete*.

C.4.5 ~~For Athletes who are Minors, the~~The DCO shall determine who, ~~(in addition to the Sample Collection Personnel,)~~ (in addition to the *Sample Collection Session* collection of a *Sample* from an *Athlete* who is a *Minor*, namely a *Minor's* representative of the *Minor* to observe the *Sample Collection Session* (including observing the DCO when the *Minor* is passing the urine *Sample*, but not ~~to~~ directly ~~observe~~observing the passing of the urine *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 an Athlete who is 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 a Registered Testing Pool, the~~The preferred venue for all *Out-of-Competition Testing of a Minor* is a location where the presence of an adult is most likely, e.g., a training venue.

C.4.8 The ~~ADO~~Sample Collection Authority shall consider the appropriate course of action when no adult is present at the *Testing* of an *Athlete* who is a *Minor* and shall accommodate the *Athlete* in locating a representative in order to proceed with *Testing*.

Annex D - Collection of ~~urine~~Urine Samples

D.1 Objective

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

- a) ~~Consistency~~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~~the *Sample* meets 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 analysis. The determination of a *Sample's* suitability for analysis is the decision of the relevant laboratory, in consultation with the ~~ADO~~Testing Authority for the Sample Collection Session in question;
- c) ~~The~~the *Sample* has not been manipulated, substituted, contaminated or otherwise tampered with in any way~~;~~;
- d) ~~The~~the *Sample* is clearly and accurately identified; and
- e) ~~The~~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

D.3.1 The DCO has the responsibility for ensuring that each *Sample* is properly collected, identified and sealed.

D.3.2 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 Session, including any modifications as provided for in Annex B – Modifications for *Athletes* with ~~disabilities~~Impairments.

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~~impairment requires that he/she must use additional or other equipment as provided for in Annex B – Modifications for *Athletes* with ~~disabilities~~Impairments, 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 selection, this shall be recorded by the DCO. If the DCO does not agree with the *Athlete* 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 *Athlete* that all of the equipment available for the selection is unsatisfactory, the DCO shall terminate the ~~collection of the Athlete's urine~~ Sample Collection Session 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* (or partial Sample) is sealed, unless assistance is required by reason of an *Athlete's* ~~disability~~impairment as provided for in Annex B – Modifications for *Athletes* with ~~disabilities~~Impairments. Additional assistance may be provided in exceptional circumstances to any *Athlete* 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.

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 should, where practicable, ensure the *Athlete* thoroughly washes his ~~or~~ /her hands prior to the provision of the Sample or wears suitable (e.g., latex) gloves during 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 and must continue to observe the *Sample* after provision until 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 any clothing which restricts the DCO's/Chaperone's clear view of *Sample* provision. ~~Once the Sample has been provided, the~~ The International Standard for Testing, January 2012 ~~124 of 167~~ 2015
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DCO/Chaperone shall ~~also~~ ensure that ~~no additional volume is~~ all urine passed by the ~~athlete~~ Athlete at the time of provision, ~~which could have been secured of the Sample is collected~~ in the collection vessel.

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 provided by the Athlete is insufficient, the DCO shall ~~conduct~~ follow the partial *Sample* collection procedure as prescribed set out in Annex F – *Urine Samples* – ~~insufficient volume~~ Insufficient Volume.

D.4.12 ~~The~~ Once the volume of urine provided by the Athlete is sufficient, the DCO shall instruct the *Athlete* to select a *Sample* collection kit containing A and B bottles in accordance with ~~Clause~~ Article D.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 ~~on the Doping Control form~~. 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 ~~Clause~~ Article D.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 30 mL), and then pour the remainder of the urine into the A bottle (to a minimum of 60 mL). The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum. 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 DCO shall instruct the *Athlete* to ensure that a small amount of urine is left in the collection vessel, explaining that this is to enable the DCO to test that residual urine in accordance with ~~Clause~~ Article D.4.17.4.16.

~~D.4.15 Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with Clause D.4.14, and after the residual urine has been tested in accordance with Clause D.4.17. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum. D.4.16~~ The *Athlete* shall then seal the A and B bottles as directed by the DCO. The DCO shall check, in full view of the *Athlete*, that the bottles have been properly sealed.

~~D.4.17.4.16~~ The DCO shall test the residual urine in the collection vessel to determine if the *Sample* has a Suitable Specific Gravity for Analysis. If the DCO's field reading indicates that the *Sample* does not have a Suitable Specific Gravity for Analysis, the DCO shall instruct the *Athlete* to provide a Suitable Specific Gravity for Analysis. ~~International Standard for Testing, January 2012~~ ~~125 of 167~~ 2015
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Gravity for Analysis, then the DCO shall follow Annex G (Urine *Samples* that do not meet the requirement for Suitable Specific Gravity for Analysis).

D.4.17 Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with Article D.4.14 and the residual urine has been tested in accordance with Article D.4.16.

D.4.18 The ~~DCO shall ensure that the Athlete has been~~shall be given the option of ~~requiring that~~witnessing the discarding of any residual urine that will not be sent for analysis ~~is discarded in full view of the Athlete.~~

Annex E - Collection of ~~blood~~Blood Samples

E.1 Objective

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

- a) ~~The~~The consistency with relevant principles of internationally recognised standard precautions in healthcare settings, and is collected by a suitably qualified person, so that the health and safety of the *Athlete* and Sample Collection Personnel are not compromised;
- b) ~~The~~the *Sample* is of a quality and quantity that meets the relevant analytical guidelines;
- c) that Samples intended for use in connection with the measurement of individual Athlete blood variables within the framework of the Athlete Biological Passport program are collected in a manner appropriate for such use.
- d) ~~e)-The~~the *Sample* has not been manipulated, substituted, contaminated or otherwise tampered with in any way;
- e) ~~e)-The~~the *Sample* is clearly and accurately identified; and
- f) ~~e)-The~~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~~transport to the laboratory ~~or as otherwise approved by WADA~~that will be analysing the Sample.

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 to complete~~ 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~~ healthcare settings where those standards and requirements exceed the requirements set out below.

E.4.2 Blood Sample Collection Equipment shall consist of (a) a single sample tube for ~~blood profiling purposes~~ Samples to be used in connection with an Athlete Biological Passport program; or (b) both an A and ~~a~~-B sample tube for ~~blood analysis; or (c)~~ Samples not to be used in connection with an Athlete Biological Passport program; or (c) other equipment as otherwise specified by the relevant laboratory. Collection tubes shall be labelled with a unique Sample code number by the DCO/BCO if they are not pre-labelled. The types of equipment to be used and the volume of blood to be collected for particular analyses shall be as set out in WADA's Blood Collection Guidelines.

E.4.3 The DCO shall ensure that the *Athlete* is ~~informed~~ properly notified of the requirements of the *Sample* collection, including any modifications as provided for in Annex B – Modifications for *Athletes* with ~~disabilities~~ Impairments. If the Sample is to be used in connection with the Athlete Biological Passport program, the DCO/BCO shall use the Doping Control form that is specific to the Athlete Biological Passport program. If such form is not available, the DCO/BCO shall use a regular Doping Control form, but he/she shall collect and record the following additional information on a supplementary report form that shall be signed by the Athlete and the DCO/BCO:

- a) confirmation that the Athlete did not participate in training or Competition in the last two hours before the Sample was collected (see Article E.4.5);
- b) whether the Athlete trained, competed or resided at an altitude greater than 1000 meters in the previous two weeks. If so, or if in doubt, the name and location of the place(s) where the Athlete has been, as well as the duration of his/her stay there, shall be recorded, along with the estimated altitude there (if known).
- c) whether the Athlete used any form of altitude simulation (such as a hypoxty tent, mask, etc.) in the previous two weeks. If so, as much information as possible on the type of device and the manner in which it was used (frequency, duration, intensity, etc.) should be recorded; and

d) whether the Athlete received any blood transfusion(s) during the previous three months. Whether there was any blood loss due to accident, pathology or donation in the previous three months. In either case, if so, the estimated volume.

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

E.4.5 The DCO/BCO shall ensure the *Athlete* is offered comfortable conditions ~~including being in a relaxed~~ and shall instruct the *Athlete* to remain in a normal seated position with feet on the floor for at least 10 minutes prior to providing a *Sample*. If the *Sample* is to be used in connection with the *Athlete Biological Passport* program, it shall not be collected within two hours of the *Athlete* training or competing. If the *Athlete* has trained or competed within two hours of the time that the *Athlete* is notified of his/her selection for *Sample* collection, the DCO/BCO/Chaperone shall monitor the *Athlete* continuously until the two hour period has elapsed, after which the *Sample* shall be collected. The nature of the exertion (*Competition, training, etc.*), as well as its duration and general intensity, shall be recorded by the DCO/BCO in the mission documentation.

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* 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 *Athlete* that all available kits are unsatisfactory, the DCO shall terminate the ~~collection of the *Athlete's* blood~~ *Sample* Collection Session 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 ~~on the *Doping Control* form~~. If the *Athlete* or DCO finds that the numbers are not the same, the DCO shall instruct the *Athlete* to choose another kit. The DCO shall record the matter.

E.4.8 The ~~Blood Collection Officer~~BCO 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~~BCO shall take the blood *Sample* from a superficial vein into the tube. 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, as set out in WADA's Blood Collection Guidelines.

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~~BCO shall repeat the procedure. ~~Maximum up to a maximum of three attempts shall be three, in total.~~ Should all three attempts fail to produce a sufficient amount of blood, then the ~~Blood Collection Officer~~BCO shall inform the DCO. The DCO shall terminate the ~~collection of the blood~~ Sample Collection Session and record this and the reasons for terminating the collection.

E.4.11 The ~~Blood Collection Officer~~BCO shall apply a dressing to the puncture site ~~f~~(s).

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

E.4.13 If the *Sample* requires further on-site processing, such as centrifugation or separation of serum (for example, in the case of a Sample intended for use in connection with the Athlete Biological Passport program, after the blood flow into the tube ceases, the BCO shall remove the tube from the holder and homogenize the blood in the tube manually by inverting the tube gently at least three times), 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. The Athlete and the BCO/DCO shall sign the Doping Control form.

E.4.15 If the Sample is intended for use in connection with an Athlete Biological Passport program, the DCO/BCO shall place it in a storage device that is capable of maintaining blood Samples at a cool temperature for the duration of the period of storage and transport but without allowing whole blood Samples to freeze (such as a refrigerator, an insulated cool box, an isotherm bag, or any other device with such capability). A temperature data logger shall be used to record the temperature of the Sample during storage and transport. In choosing the storage device, the Sample Collection Authority shall take into account the duration of the period of storage and transport, the number of Samples to be stored together, and the prevailing environmental conditions (hot or cold temperatures).

E4.16 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~~ that will be analysing the *Sample*.

E.4.17 Blood *Samples* shall be transported in accordance with Section 9.0. The transport procedure is the responsibility of the DCO. Blood *Samples* shall be transported in a device that maintains the integrity of *Samples* over time notwithstanding changes in external temperature. The transport device shall be transported by secure means using a method authorized by the *Testing Authority*. If the *Sample* is intended for use in connection with an *Athlete Biological Passport* program, it shall be transported rapidly to the laboratory so that analysis can be performed ideally within 36 hours of *Sample* collection.

Annex F - Urine Samples - Insufficient ~~volume~~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* that he/she has provided is not of Suitable Volume of Urine for Analysis and ends with the *Athlete's* 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 ~~Clause~~Article D.4.4.

F.4.3 The DCO shall then instruct the *Athlete* to open the relevant equipment, pour the insufficient *Sample* into the ~~container~~new container (unless the Sample Collection Authority's procedures permit retention of the insufficient Sample in the original collection vessel) and seal it as directed by the DCO. The DCO shall check, in full view of the *Athlete*, that the container (or original collection vessel, if applicable) 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 on the Doping Control form. 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~~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~~partial *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~~in the order they were collected to the ~~first~~entire original partial *Sample* ~~collected~~ until, as a minimum, the requirement for Suitable Volume of Urine for Analysis is met.

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

F.4.10 The DCO shall check the residual urine in accordance with Article D.4.16 to ensure that it meets the requirement for 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 ~~Clause D.4.1.4.~~Article D.4.14 and the residual urine has been checked in accordance with Article F.4.10. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum.

Annex G - Urine Samples that do not meet the requirement for Suitable Specific Gravity for Analysis

G.1 Objective

To ensure that when the urine *Sample* does not meet the requirement for 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 the requirements for Suitable Specific Gravity for Analysis, or appropriate follow-up action by the ~~ADO~~Testing Authority if required.

G.3 Responsibility

The ~~ADO~~Sample Collection Authority is responsible for establishing procedures to ensure that a suitable *Sample* is collected. If the original *Sample* collected does not meet the requirement for Suitable Specific Gravity for Analysis, the DCO is responsible for collecting additional *Samples* until a suitable *Sample* is obtained.

G.4 Requirements

G.4.1 The DCO shall determine that the requirements for 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~~ a further Sample, the *Athlete* shall remain under continuous observation.

G.4.4 The *Athlete* shall be ~~encouraged~~advised not to hydrate excessively, since this may delay the production of a suitable *Sample*. In appropriate circumstances, excessive hydration may be pursued as a violation of Code Article 2.5 (Tampering or Attempted Tampering with any part of Doping Control).

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

G.4.6 The DCO should continue to collect additional *Samples* until the requirement for Suitable Specific Gravity for Analysis is met, or until the DCO ~~International Standard for Testing, January 2012~~ 134 of 167 ~~2015~~ ISTI – 20 February 2014

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.4.6~~ *[Comment to G.4.6: It is the responsibility of the Athlete to provide a Sample with a Suitable Specific Gravity for Analysis. If his/her first Sample is too dilute, he/she should not need further hydration and therefore should avoid drinking as far as possible until a Sample with a Suitable Specific Gravity for Analysis is provided. The DCO should wait as long as necessary to collect such a Sample. The ~~ADO may produce guidelines~~ Testing Authority may specify procedures to be followed by the DCO in determining whether exceptional circumstances exist that make it impossible to continue with the Sample Collection Session.]*

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 the Sample Collection Session in accordance with ~~Clause~~Article ~~D.4.16.4.17.~~

G.4.9 If it is determined that none of the Samples collected from the Athlete's Samples meets the requirement for Suitable Specific Gravity for Analysis and the DCO determines that for logistical reasons it is impossible to continue with the Sample Collection Session, the DCO may end the Sample Collection Session. ~~In such circumstances, if appropriate the ADO may investigate a possible anti-doping rule violation.~~

G.4.10 The DCO shall send to the laboratory for analysis all Samples which were collected, irrespective of whether or not they meet the requirement for Suitable Specific Gravity for Analysis.

G.4.11 The laboratory shall determine, in conjunction with the ~~ADO~~, ~~determine~~Testing Authority, which Samples shall be analyzed.

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~~Sample Collection Authority has the responsibility for all activities defined in this Annex H.

H.4 Requirements - Qualifications and Training

H.4.1 The ~~ADO~~Sample Collection Authority shall :

- a) determine the necessary competence and qualification requirements for the positions of ~~Doping Control Officer~~DCO, Chaperone and ~~Blood Collection Officer. The ADO shall~~ BCO; and
- b) develop duty statements for all Sample Collection Personnel that outline their respective responsibilities. As a minimum:
 - ai) Sample Collection Personnel shall not be *Minors*; and
 - b) ~~Blood Collection Officers~~ii) BCOs shall have adequate qualifications and practical skills required to perform blood collection from a vein.

H.4.2 The ~~ADO~~Sample Collection Authority 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~~Collection Session are not appointed to that Sample Collection Session. Sample Collection Personnel are deemed to have such an interest ~~in the collection of a Sample~~ if they are:

- a) Involved in the ~~planning~~administration 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~~Sample Collection Authority 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~~BCOs shall include, as a minimum, studies of all relevant requirements of the *Testing* process and familiarization with relevant standard precautions in healthcare settings.

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

- a) Comprehensive theoretical training in different types of *Testing* activities relevant to the ~~Doping Control Officer~~DCO position;
- b) Observation of all *Doping Control* activities ~~related to requirements in this standard~~that are the responsibility of the DCO as set out in this International Standard for Testing and Investigations, preferably on site; and
- c) The satisfactory performance of one complete *Sample Collection Session* on site under observation by a qualified ~~Doping Control Officer~~DCO or similar. The requirement related to the actual passing of a urine *Sample* shall not be included in the on-site observations.

H.4.3.3 The training program for Chaperones shall include studies of all relevant requirements of the *Sample* collection process.

H.4.3.4 A Sample Collection Authority that collects Samples from Athletes who are of a different nationality to its Sample Collection Personnel (e.g., at an International Event or in an Out-of-Competition context) should establish additional systems to ensure that such Sample Collection Personnel are adequately trained to carry out their duties in respect of such Athletes.

H 4.4 The ~~ADO~~Sample Collection Authority shall maintain records of education, training, skills and experience of all Sample Collection Personnel.

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

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

H.5.2 The ~~ADO~~Sample Collection Authority shall ensure that Sample Collection Personnel have completed the training program and are familiar with the requirements of this International Standard for Testing and Investigations (including, where Article H.4.3.4 applies, in relation to the collection of Samples from Athletes who are of a different nationality to the Sample Collection Personnel) 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~~who have an accreditation recognised by the ~~ADO~~Sample Collection Authority shall be authorised by the ~~ADO~~Sample Collection Authority to conduct Sample collection activities on behalf of the ~~ADO~~.Sample Collection Authority.

H.5.5 ~~Doping Control Officers~~DCOs 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.

Annex I – Code Article 2.4 Whereabouts Requirements

I.1 Introduction

I.1.1 An Athlete who is in a Registered Testing Pool is required:

- a. to make quarterly Whereabouts Filings that provide accurate and complete information about the Athlete’s whereabouts during the forthcoming quarter, including identifying where he/she will be living, training and competing during that quarter, and to update those Whereabouts Filings where necessary, so that he/she can be located for Testing during that quarter at the times and locations specified in the relevant Whereabouts Filing, as specified in Article I.3. A failure to do so may be declared a Filing Failure; and
- b. to specify in his/her Whereabouts Filings, for each day in the forthcoming quarter, one specific 60-minute time slot where he/she will be available at a specific location for Testing, as specified in Article I.4. This does not limit in any way the Athlete’s Code Article 5.2 obligation to submit to Testing at any time and place upon request by an Anti-Doping Organization with Testing Authority over him/her. Nor does it limit his/her obligation to provide the information specified in Article I.3 as to his/her whereabouts outside that 60-minute time slot. 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 Whereabouts Filing, that failure may be declared a Missed Test.

[Comment to I.1.1(b): The purpose of the 60-minute time slot is to strike a balance between the need to locate the Athlete for Testing and the impracticality and unfairness of making Athletes potentially accountable for a Missed Test every time they depart from their previously-declared routine. Anti-Doping Organizations that implemented whereabouts systems in the period up to 2009 reflected that tension in different ways. Some demanded “24/7” whereabouts information, but did not declare a Missed Test if an Athlete was not where he/she had said he/she would be unless (a) he/she could still not report for Testing despite being given notice in the form of a phone call; or (b) the following day he/she was still not where he/she had said he/she would be. Others asked for details of the Athlete’s whereabouts for only one hour per day, but held the Athlete fully accountable during that period, which gave each side certainty but limited the Anti-Doping Organization’s ability to test the Athlete outside that hour. After extensive consultation with stakeholders with substantial whereabouts experience, the view was taken that the best way to maximize the chances of finding the Athlete at any time, while providing a reasonable and appropriate mitigation of “24/7” Missed Test liability, was to combine the best elements of each system, i.e., requiring disclosure of

whereabouts information on a "24/7" basis, while limiting exposure to a Missed Test to a 60-minute time slot.

I.1.2 Three Whereabouts Failures by an *Athlete* within any 12-month period amount to an anti-doping rule violation under Code Article 2.4. The Whereabouts Failures may be any combination of Filing Failures and/or Missed Tests declared in accordance with Article I.5 and adding up to three in total.

[Comment to I.1.2: While a single Whereabouts Failure will not amount to an anti-doping rule violation under Code Article 2.4, depending on the facts it could amount to an anti-doping rule violation under Code Article 2.3 (Evading Sample Collection) and/or Code Article 2.5 (Tampering or Attempted Tampering with Doping Control).]

I.1.3 The 12-month period referred to in Code Article 2.4 starts to run on the date that an *Athlete* commits the first Whereabouts Failure being relied upon in support of the allegation of a violation of Code Article 2.4. If two more Whereabouts Failures occur during the ensuing 12-month period, then a Code Article 2.4 anti-doping rule violation is committed, irrespective of any Samples successfully collected from the *Athlete* during that 12-month period. However, if an *Athlete* who has committed one Whereabouts Failure does not go on to commit a further two Whereabouts Failures within 12 months of the first, at the end of that 12-month period the first Whereabouts Failure "expires" for purposes of Code Article 2.4, and a new 12-month period begins to run from the date of his/her next Whereabouts Failure.

[Comment to I.1.3: For purposes of determining whether a Whereabouts Failure has occurred within the 12-month period referred to in Code Article 2.4, (a) a Filing Failure will be deemed to have occurred on the first day of the quarter for which the Athlete fails to make a (sufficient) filing; and (b) a Missed Test will be deemed to have occurred on the date that the Sample collection was unsuccessfully attempted.]

I.1.4 To give *Athletes* the full benefit of the changes to the 2015 Code (reducing the relevant period under Code Article 2.4 from 18 months to 12 months), any Whereabouts Failure that occurred prior to 1 January 2015 will "expire" (for purposes of Code Article 2.4) 12 months after the date of its occurrence.

I.2 Entering and leaving a Registered Testing Pool

I.2.1 The International Federation or National Anti-Doping Organization (as applicable) must notify each *Athlete* designated for inclusion in its Registered Testing Pool of the following:

- a. the fact that he/she has been included in its *Registered Testing Pool* with effect from a specified date in the future;
- b. the whereabouts requirements with which he/she must therefore comply; and
- c. the *Consequences* if he/she fails to comply with those whereabouts requirements.

[Comment to I.2.1: This notification may be made through the National Federation or National Olympic Committee where the International Federation/National Anti-Doping Organization considers it appropriate or expedient to do so. The notice should also explain what the Athlete needs to do in order to comply with the Code Article 2.4 Whereabouts Requirements (or refer them to a website or other resource where they can find out that information). Athletes included in a Registered Testing Pool should be informed and educated so that they understand the whereabouts requirements that they must satisfy, how the whereabouts system works, the Consequences of Filing Failures and Missed Tests, and their right to contest Filing Failures and Missed Tests that have been asserted against them.]

Anti-Doping Organizations should also be proactive in helping Athletes avoid Filing Failures. For example, many Anti-Doping Organizations systematically remind Athletes in their Registered Testing Pool of quarterly deadlines for Whereabouts Filings, and then follow up with those Athletes who have still not made the necessary filing as the deadline approaches. However, Athletes remain fully responsible for complying with the filing requirements, irrespective of whether or not the Anti-Doping Organization has provided them with such support.]

I.2.2 If the Athlete is included in the International Federation's international Registered Testing Pool and in the National Anti-Doping Organization's national Registered Testing Pool (or in the Registered Testing Pool of more than one National Anti-Doping Organization or more than one International Federation), then each of them shall notify the Athlete that he/she is in its pool. Prior to doing so, however, they must agree between themselves which of them the Athlete should provide his/her Whereabouts Filings to, and each notice sent to the Athlete should specify that he/she should provide his/her Whereabouts Filings to that Anti-Doping Organization only (and it will then share that information with the other, and with any other Anti-Doping Organizations having Testing jurisdiction over the Athlete). An Athlete must not be asked to provide Whereabouts Filings to more than one Anti-Doping Organization.

[Comment to I.2.2: If the respective Anti-Doping Organizations cannot agree between themselves which of them will take responsibility for collecting the Athlete's whereabouts information, and for making it available to the other

Anti-Doping Organizations with authority to test the Athlete, then they should each explain in writing to WADA how they believe the matter should be resolved, and WADA will decide based on the best interests of the Athlete. WADA's decision will be final and may not be appealed.

I.2.3 An International Federation or National Anti-Doping Organization that maintains a Registered Testing Pool shall establish a workable system for the collection, maintenance and sharing of Whereabouts Filings, preferably using an online system (capable of recording who enters information and when) or at least fax, email and/or SMS text messaging, to ensure that:

- a. the information provided by the Athlete is stored safely and securely (in ADAMS or another system approved by WADA);
- b. the information can be accessed by (i) authorized individuals acting on behalf of the International Federation or National Anti-Doping Organization (as applicable) on a need-to-know basis only; (ii) WADA; and (iii) other Anti-Doping Organizations with Testing jurisdiction over the Athlete; and
- c. the information is maintained in strict confidence at all times, is used exclusively for the purposes set out in Code Article 5.6, and is destroyed in accordance with the International Standard for the Protection of Privacy and Personal Information once it is no longer relevant.

I.2.4 An Athlete who has been included in a Registered Testing Pool shall continue to be subject to the Code Article 2.4 Whereabouts Requirements unless and until:

- a. he/she has been given written notice by each Anti-Doping Organization that put him in its Registered Testing Pool that he/she is no longer designated for inclusion in its Registered Testing Pool; or
- b. he/she retires from Competition in the sport in question in accordance with the applicable rules and gives written notice to that effect to each Anti-Doping Organization that put him/her in its Registered Testing Pool.

[Comment to I.2.4: The applicable rules may also require that notice of retirement be sent to the Athlete's National Federation.

Where an Athlete retires from but then returns to sport, his/her period of non-availability for Out-of-Competition Testing shall be disregarded for purposes of calculating the 12-month period referred to in Code Article 2.4. As

a result, Whereabouts Failures committed by the Athlete prior to retirement may be combined, for purposes of Code Article 2.4, with Whereabouts Failures committed by the Athlete after he/she again becomes available for Out-of-Competition Testing. For example, if an Athlete committed two Whereabouts Failures in the six months prior to his/her retirement, then if he/she commits another Whereabouts Failure in the first six months in which he/she is again available for Out-of-Competition Testing, that amounts to a Code Article 2.4 anti-doping rule violation.

I.3 Whereabouts Filing Requirements

I.3.1 On a date specified by the Anti-Doping Organization collecting an Athlete's Whereabouts Filings – which date shall be prior to the first day of each quarter (i.e., 1 January, 1 April, 1 July and 1 October, respectively) – an Athlete in a Registered Testing Pool must file a Whereabouts Filing that contains at least the following information:

- a. a complete mailing address where correspondence may be sent to the Athlete for formal 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;*

[Comment to I.3.1(a): 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 Anti-Doping Organization is encouraged also to supplement this basic provision with 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; permitting notice to be served on the Athlete's National Federation if it is returned undelivered from the address supplied by the Athlete). The aim of such provisions should be to shorten the results management timelines.]

- b. details of any impairment of the Athlete that may affect the procedure to be followed in conducting a Sample Collection Session;*
- c. specific confirmation of the Athlete's consent to the sharing of his/her Whereabouts Filing with other Anti-Doping Organizations that have Testing Authority over him/her;*
- d. for each day during the following quarter, the full address of the place where the Athlete will be staying overnight (e.g., home, temporary lodgings, hotel, etc);*

- e. for each day during the following quarter, the name and address of each location where the Athlete will train, work or conduct any other regular activity (e.g. school), as well as the usual time-frames for such regular activities; and

[Comment to I.3.1(e): This requirement applies only to activities that are part of the Athlete's regular routine. For example, if the Athlete's regular routine includes training at the gym, the pool and the track, and regular physio sessions, then the Athlete should provide the name and address of the gym, track, pool and physio in his/her Whereabouts Filing, and then set out his/her usual routine, e.g., "Mondays: 9-11 gym, 13-17 gym; Tuesdays: 9-11 gym, 16-18 gym; Wednesdays: 9-11 track, 3-5 physio; Thursdays: 9-12 gym 16-18 track; Fridays: 9-11 pool 3-5 physio; Saturdays: 9-12 track, 13-15 pool; Sundays: 9-11 track, 13-15 pool".

If the Athlete is not currently training, he/she should specify that in his/her Whereabouts Filing and detail any other routine that he/she will be following in the forthcoming quarter, e.g., 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 and the time-frame during which it is conducted.

In the case of a Team Sport or other sport where competing and/or training are carried out on a collective basis, the Athlete's regular activities are likely to include most if not all Team Activities.]

- 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).

I.3.2 Subject to Article I.3.3, the Whereabouts Filing must also include, for each day during the following quarter, one specific 60-minute time slot between 5 a.m. and 11 p.m. each day where the Athlete will be available and accessible for Testing at a specific location.

[Comment to I.3.2: The Athlete can choose which 60-minute time slot between 5 a.m. and 11 p.m. to use for this purpose, provided that during the time slot in question he/she is somewhere accessible by the DCO. It could be the Athlete's place of residence, training or Competition, or it could be another location (e.g., work or school). An Athlete is entitled to specify a 60-minute time slot during which he/she will be at a hotel, apartment building, gated community or other location where access to the Athlete is obtained via a front desk, or doorman, or security guard. In addition, an Athlete may specify a time slot when he/she is taking part in a Team Activity. In either case, however, any failure to be

accessible and available for Testing at the specified location during the specified time slot will be a Missed Test.]

I.3.3 As the sole exception to Article I.3.2, if (but only if) there are dates in the relevant quarter in which the Athlete is scheduled to compete in an Event (excluding any Events organized by a Major Event Organization), and the Anti-Doping Organization that put the Athlete into the Registered Testing Pool is satisfied that enough information is available from other sources to find the Athlete for Testing on those dates, then the Anti-Doping Organization that put the Athlete into the Registered Testing Pool may waive the Article I.3.2 requirement to specify a 60-minute time-slot in respect of such dates ("In-Competition Dates"). If each of the International Federation and a National Anti-Doping Organization put the Athlete into its Registered Testing Pool, the International Federation's decision as to whether to waive that requirement in respect of In-Competition Dates will prevail. If the requirement to specify a 60-minute time slot has been waived in respect of In-Competition Dates, and the Athlete has specified in his/her Whereabouts Filing a series of dates on which he/she anticipates being In-Competition (and as a result has not specified a 60-minute time slot for those dates), if he/she is then knocked out of the Competition before the end of those dates, so that the remaining dates are no longer In-Competition Dates, he/she must update his/her Whereabouts Filing to provide all the necessary information for those dates, including the 60-minute time slot specified in Article I.3.2.

I.3.4 It is the Athlete's responsibility to ensure that he/she provides all of the information required in a Whereabouts Filing accurately and in sufficient detail to enable any Anti-Doping Organization wishing to do so to locate the Athlete for Testing on any given day in the quarter at the times and locations specified by the Athlete in his/her Whereabouts Filing for that day, including but not limited to during the 60-minute time slot specified for that day in the Whereabouts Filing. More specifically, 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. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of Sample collection under Code Article 2.3, and/or Tampering or Attempted Tampering with Doping Control under Code Article 2.5. In any event, the Anti-Doping Organization shall consider Target Testing of the Athlete.

[Comment to I.3.4: For example, declarations such as "running in the Black Forest" are insufficient and are likely to result in a Filing Failure. Similarly, specifying a location that the DCO cannot access (e.g., a "restricted-access" building or area) is likely to result in a Filing Failure. The Anti-Doping Organization may be able to determine the insufficiency of the information from the Whereabouts Filing itself, or alternatively it may only discover the insufficiency of the information when it attempts to test the Athlete and is unable to locate him/her. In either case, the matter should be pursued as an

apparent Filing Failure, and/or (where the circumstances warrant) as an evasion of Sample collection under Code Article 2.3, and/or as Tampering or Attempting to Tamper with Doping Control under Code Article 2.5.

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, and then update that information as necessary in accordance with Article I.3.5.]

I.3.5 Where a change in circumstances means that the information in a Whereabouts Filing is no longer accurate or complete as required by Article I.3.4, the Athlete must file an update so that the information on file is again accurate and complete. In particular, the Athlete must always update his/her Whereabouts Filing to reflect any change in any day in the quarter in question (a) in the time or location of the 60-minute time slot specified in Article I.3.2; and/or (b) in the place where he/she is staying overnight. The Athlete must file the update as soon as possible after the circumstances change, and in any event prior to the 60-minute time slot specified in his/her filing for the day in question. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of Sample collection under Code Article 2.3, and/or Tampering or Attempted Tampering with Doping Control under Code Article 2.5. In any event, the Anti-Doping Organization shall consider Target Testing of the Athlete.

[Comment to I.3.5: The Anti-Doping Organization collecting the Athlete's Whereabouts Filings should provide appropriate mechanisms (e.g., phone, fax, Internet, email, SMS) to facilitate the filing of such updates.

It is the responsibility of each Anti-Doping Organization with Testing Authority over the Athlete 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 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 must still submit to Testing during the original 60-minute time slot, if he/she is located for Testing during that time slot.]

I.3.6 An Athlete may only be declared to have committed a Filing Failure where the Results Management Authority establishes each of the following:

- a. that the Athlete was duly notified (i) that he/she had been designated for inclusion in a Registered Testing Pool; (ii) of the consequent requirement to make 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;

[Comment to I.3.6(b): An Athlete fails to comply with the requirement to make Whereabouts Filings (i) where he/she does not make any such filing, or where he/she fails to update the filing as required by Article I.3.5; or (ii) where he/she makes the filing or update but does not include all of the required information in that filing or update (e.g. he/she does not include the place where he/she will be staying overnight for each day in the following quarter, or for each day covered by the update, or omits to declare a regular activity that he/she will be pursuing during the quarter, or during the period covered by the update); or (iii) where he/she includes information in the original filing or the update that is inaccurate (e.g., an address that does not exist) or insufficient to enable the Anti-Doping Organization to locate him/her for Testing (e.g., "running in the Black Forest").]

- c. (in the case of a second or third Filing Failure in the same quarter) that he/she was given notice, in accordance with Article I.5.2(d), of the previous Filing Failure, and (if that Filing Failure revealed deficiencies in the Whereabouts Filing that would lead to further Filing Failures if not rectified) was advised in the notice that in order to avoid a further Filing Failure he/she must file the required Whereabouts Filing (or update) by the deadline specified in the notice (which must be no less than 24 hours after receipt of the notice and no later than the end of the month in which the notice is received) and yet failed to rectify that Filing Failure by the deadline specified in the notice; and

[Comment to I.3.6(c): The requirement is to give the Athlete notice of the first Filing Failure in the quarter and an opportunity to avoid a subsequent one, before a subsequent Filing Failure may be pursued against him/her that quarter. But that is all that is required. In particular, it is not necessary to complete the results management process with respect to the first Filing Failure before pursuing a second Filing Failure against the Athlete.]

- 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 requirements yet failed to comply with them. That presumption may only be rebutted by the Athlete establishing that no negligent behaviour on his/her part caused or contributed to the failure.

I.4 Availability for Testing

I.4.1 While Code Article 5.2 specifies that every Athlete must submit to Testing at any time and place upon request by an Anti-Doping Organization with Testing jurisdiction over him/her, in addition an Athlete in a Registered Testing Pool must specifically be present and available for Testing on any given day during the 60-minute time slot specified for that day in his/her

Whereabouts Filing, at the location that the Athlete has specified for that time slot in such filing. A Failure to Comply with this requirement shall be pursued as an apparent Missed Test. If the Athlete is tested during such a time slot, 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. A failure to do so shall be pursued as an apparent violation of Code Article 2.3 (refusal or failure to submit to Sample collection).

[Comment to I.4.1: For Testing to be effective in deterring and detecting cheating, it should be as unpredictable as possible. Therefore, the intent behind the 60-minute time slot is not to limit Testing to that period, or to create a 'default' period for Testing, but rather:

- a. to make it very clear when an unsuccessful attempt to test an Athlete will count as a Missed Test;
- b. to guarantee that the Athlete can be found, and a Sample can be collected, at least once per day (which should deter doping, or, as a minimum, make it far more difficult);
- c. to increase the reliability of the rest of the whereabouts information provided by the Athlete, and so to assist the Anti-Doping Organization in locating the Athlete for Testing outside the 60-minute time slot. The 60-minute time slot "anchors" the Athlete to a certain location for a particular day. Combined with the information that the Athlete must provide as to where he/she is staying overnight, training, competing and conducting other 'regular' activities during that day, the Anti-Doping Organization should be able to locate the Athlete for Testing outside the 60-minute time slot; and
- d. to generate useful anti-doping intelligence, e.g., if the Athlete regularly specifies time slots with large gaps between them, and/or changes his time slot and/or location at the last minute. Such intelligence can be relied upon as a basis for the Target Testing of such Athlete.]

I.4.2 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 Whereabouts Filing, any subsequent unsuccessful attempt to test that Athlete (by the same or any other Anti-Doping Organization) during one of the 60-minute time slots specified in his/her Whereabouts Filing may only be counted as a Missed Test (or, if the unsuccessful attempt was because the information filed was insufficient to find the Athlete during the time slot, as a Filing Failure) against that Athlete if that subsequent attempt takes place after

the Athlete has received notice, in accordance with Article I.5.2(d), of the original unsuccessful attempt.

[Comment to I.4.2: The requirement is to give the Athlete notice of one Missed Test before a subsequent Missed Test may be pursued against him/her. But that is all that is required. In particular, it is not necessary to complete the results management process with respect to the first Missed Test before pursuing a second Missed Test against the Athlete.]

I.4.3 An Athlete may only be declared to have committed a Missed Test where the Results Management Authority 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 that he/she would be liable for a Missed Test if he/she was unavailable for Testing during the 60-minute time slot specified in his/her Whereabouts Filing at the location specified for that time slot;
- b. that a DCO attempted to test the Athlete on a given day in the quarter, during the 60-minute time slot specified in the Athlete's Whereabouts Filing for that day, by visiting the location specified for that time slot;

[I.4.3(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 an unsuccessful attempt to test, but should include full details of the delay in availability of the Athlete in the mission report. Any pattern of behaviour of this type should be investigated as a possible anti-doping rule violation of evading Sample collection under Code Article 2.3 or Code Article 2.5. It may also prompt Target Testing of the Athlete.]

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;

[Comment to I.4.3(c): Once the DCO has arrived at the location specified for the 60-minute time slot, if the Athlete cannot be located immediately then the DCO should remain at that location for whatever time is left of the 60-minute

time slot and during that remaining time he/she should do what is reasonable in the circumstances to try to locate the Athlete. See WADA's Guidelines for Implementing an Effective Athlete Whereabouts Program for guidance in determining what is reasonable in such circumstances.

Where an Athlete has not been located despite the DCO's reasonable efforts, and there are only five minutes left within the 60-minute time slot, then as a last resort the DCO may (but does not have to) telephone the Athlete (assuming he/she has provided his/her telephone number in his/her Whereabouts Filing) to see if he/she is at the specified location. If the Athlete answers the DCO's call and is available at (or in the immediate vicinity of) the location for immediate testing (i.e., within the 60 minute time slot), then the DCO should wait for the Athlete and should collect the Sample from him/her as normal. However, the DCO should also make a careful note of all the circumstances, so that it can be decided if any further investigation should be conducted. In particular, the DCO should make a note of any facts suggesting that there could have been tampering or manipulation of the Athlete's urine or blood in the time that elapsed between the phone call and the Sample collection. If the Athlete answers the DCO's call and is not at the specified location or in the immediate vicinity, and so cannot make himself/herself available for testing within the 60-minute time slot, the DCO should file an Unsuccessful Attempt Report.

Because the making of a telephone call is discretionary rather than mandatory, and is left entirely to the absolute discretion of the Sample Collection Authority, proof that a telephone call was made is not a requisite element of a Missed Test, and the lack of a telephone call does not give the Athlete a defence to the assertion of a Missed Test.]

- d. that Article I.4.2 does not apply or (if it applies) was complied with; 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 been negligent upon proof of the matters set out at sub-Articles I.4.3(a) to (d). That presumption may only be rebutted by the Athlete establishing that no negligent behaviour on his/her part caused or contributed to his/her failure (i) to be available for Testing at such location during such time slot, and (ii) to update his/her most recent 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.

I.5 Results Management

I.5.1 In accordance with Code Articles 7.1.2 and 7.6, the Results Management Authority in relation to potential Whereabouts Failures shall be the International Federation or the National Anti-Doping Organization with whom the Athlete in question files his/her whereabouts information.

[Comment to I.5.1: If an Anti-Doping Organization that receives an Athlete's Whereabouts Filings (and so is his/her Results Management Authority for whereabouts purposes) removes the Athlete from its Registered Testing Pool after recording one or two Whereabouts Failures against him/her, then if the Athlete remains in (or is put in) another Anti-Doping Organization's Registered Testing Pool, and that other Anti-Doping Organization starts receiving his/her Whereabouts Filings, then that other Anti-Doping Organization becomes the Results Management Authority in respect of all Whereabouts Failures by that Athlete, including those recorded by the first Anti-Doping Organization. In that case, the first Anti-Doping Organization shall provide the second Anti-Doping Organization with full information about the Whereabouts Failure(s) recorded by the first Anti-Doping Organization in the relevant period, so that if the second Anti-Doping Organization records any further Whereabouts Failure(s) against that Athlete, it has all the information it needs to bring proceedings against him/her, in accordance with Article I.5.4, for violation of Code Article 2.4.]

I.5.2 When a Whereabouts Failure appears to have occurred, results management shall proceed as follows:

- a. If the apparent Whereabouts Failure has been uncovered by an attempt to test the Athlete, the Testing Authority shall obtain an Unsuccessful Attempt Report from the DCO. If the Testing Authority is different from the Results Management Authority, it shall provide the Unsuccessful Attempt Report to the Results Management Authority without delay, and thereafter it shall assist the Results Management Authority as necessary in obtaining information from the DCO in relation to the apparent Whereabouts Failure.
- b. The Results Management Authority shall review the file (including any Unsuccessful Attempt Report filed by the DCO) to determine whether all of the Article I.3.6 requirements (in the case of a Filing Failure) or all of the Article I.4.3 requirements (in the case of a Missed Test) are met. It shall gather information as necessary from third parties (e.g., the DCO whose test attempt uncovered the Filing Failure or triggered the Missed Test) to assist it in this task.

[Comment to I.5.2(b): WADA's Guidelines for Implementing an Effective Athlete Whereabouts Program include guidance as to what explanations may or may not excuse an apparent Filing Failure or Missed Test.]

- c. If the Results Management Authority concludes that any of the relevant requirements have not been met (so that no Whereabouts Failure should be declared), it shall so advise WADA, the International Federation or National Anti-Doping Organization (as applicable), and the Anti-Doping Organization that uncovered the Whereabouts Failure, giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with Code Article 13.
- d. If the Results Management Authority concludes that all of the relevant requirements have been met, it shall notify the Athlete within 14 days of the date of the apparent Whereabouts Failure. The notice shall include sufficient details of the apparent Whereabouts Failure to enable the Athlete to respond meaningfully, and shall give the Athlete a reasonable deadline to respond, advising whether he/she admits the Whereabouts Failure and, if not, then why not. The notice should also advise the Athlete that three Whereabouts Failures in any 12-month period is a Code Article 2.4 anti-doping rule violation, and should note whether he/she has any other Whereabouts Failures recorded against him/her in the previous 12 months. In the case of a Filing Failure, the notice must also advise the Athlete that in order to avoid a further Filing Failure he/she must file the missing whereabouts information by the deadline specified in the notice (which must be no less than 24 hours after receipt of the notice and no later than the end of the month in which the notice is received).
- e. If the Athlete does not respond within the specified deadline, the Results Management Authority shall record the notified Whereabouts Failure against him/her. If the Athlete does respond within the deadline, it shall consider whether his/her response changes its original decision that all of the requirements for recording a Whereabouts Failure have been met.
 - i. If so, it shall so advise WADA, the International Federation or National Anti-Doping Organization (as applicable), and the Anti-Doping Organization that uncovered the Whereabouts Failure, giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with Code Article 13.

- ii. If not, it shall so advise the *Athlete* (with reasons) and specify a reasonable deadline by which he/she may request an administrative review of its decision. The Unsuccessful Attempt Report should be provided to the *Athlete* at this point if it has not been provided to him/her earlier in the process.
- f. If the *Athlete* does not request an administrative review by the specified deadline, the Results Management Authority shall record the notified Whereabouts Failure against him/her. If the *Athlete* does request an administrative review before the deadline, it shall be carried out, based on the papers only, by one or more persons not previously involved in the assessment of the apparent Whereabouts Failure. The purpose of the administrative review shall be to determine anew whether or not all of the relevant requirements for recording a Whereabouts Failure are met.
- g. If the conclusion following administrative review is that all of the requirements for recording a Whereabouts Failure are not met, the Results Management Authority shall so advise WADA, the International Federation or *National Anti-Doping Organization* (as applicable), and the *Anti-Doping Organization* that uncovered the Whereabouts Failure, giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with Code Article 13. On the other hand, if the conclusion is that all of the requirements for recording a Whereabouts Failure are met, it shall notify the *Athlete* and shall record the notified Whereabouts Failure against him/her.

I.5.3 The Results Management Authority shall report a decision to record a Whereabouts Failure against an *Athlete* to WADA and all other relevant *Anti-Doping Organizations*, on a confidential basis, via ADAMS or other system approved by WADA.

[Comment to I.5.3: For the avoidance of doubt, the Results Management Authority is entitled to notify other relevant *Anti-Doping Organizations* (on a strictly confidential basis) of the apparent Whereabouts Failure at an earlier stage of the results management process, where it considers it appropriate (for test planning purposes or otherwise). In addition, an *Anti-Doping Organization* may publish a general statistical report of its activities that discloses in general terms the number of Whereabouts Failures that have been recorded 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. Prior to any proceedings under Code Article 2.4, an *Anti-Doping Organization* should not Publicly Disclose that a particular Athlete does (or does not) have any Whereabouts Failures recorded against him/her (or that a

particular sport does, or does not, have Athletes with Whereabouts Failures recorded against them).

I.5.4 Where three Whereabouts Failures are recorded against an Athlete within any 12-month period, the Results Management Authority shall bring proceedings against the Athlete alleging violation of Code Article 2.4. If the Results Management Authority fails to bring such proceedings against an Athlete within 30 days of WADA receiving notice of the recording of that Athlete's third Whereabouts Failure in any 12-month period, then the Results Management Authority shall be deemed to have decided that no anti-doping rule violation was committed, for purposes of triggering the appeal rights set out at Code Article 13.2.

I.5.5 An Athlete alleged to have committed a Code Article 2.4 anti-doping rule violation shall have the right to have such allegation determined at a full evidentiary hearing in accordance with Code Article 8. The hearing panel 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 Anti-Doping Organization bringing the proceedings to establish all of the requisite elements of each alleged Whereabouts Failure to the comfortable satisfaction of the hearing panel. If the hearing panel decides that one (or two) Whereabouts Failures(s) have been established to the required standard, but that the other alleged Whereabouts Failure(s) has/have not, then no Code Article 2.4 anti-doping rule violation shall be found to have occurred. However, if the Athlete then commits one (or two, as applicable) further Whereabouts Failure(s) within the relevant 12-month period, new proceedings may be brought based on a combination of the Whereabouts Failure(s) established to the satisfaction of the hearing panel in the previous proceedings (in accordance with Code Article 3.2.3) and the Whereabouts Failure(s) subsequently committed by the Athlete.

[Comment to I.5.5: Nothing in Article I.5.5 is intended to prevent the Anti-Doping Organization challenging an argument raised on the Athlete's behalf at the hearing on the basis that it could have been but was not raised at an earlier stage of the results management process.]

I.5.6 A finding that an Athlete has committed a Code Article 2.4 anti-doping rule violation has the following Consequences: (a) imposition of a period of Ineligibility in accordance with Code Article 10.3.2 (first violation) or Code Article 10.7 (subsequent violation(s)); and (b) in accordance with Code Article 10.8, Disqualification (unless fairness requires otherwise) of all individual results obtained by the Athlete from the date of the Code Article 2.4 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 hearing panel to have occurred. The impact of any Code 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 Code Article 11.

I.6 Whereabouts Responsibilities

I.6.1 Notwithstanding any other provision of this Annex I:

- a. an International Federation may propose, and a National Anti-Doping Organization may agree to, the delegation of some or all of the whereabouts responsibilities of the International Federation under this Annex I to the National Anti-Doping Organization;
- b. an International Federation may delegate some or all of its whereabouts responsibilities under this Annex I to the Athlete's National Federation; or
- c. a National Anti-Doping Organization may delegate some or all of its whereabouts responsibilities under this Annex I to the Athlete's National Federation or other appropriate Anti-Doping Organization with authority over the Athlete in question;
- d. where no appropriate National Anti-Doping Organization exists, the National Olympic Committee shall assume the whereabouts responsibilities of the National Anti-Doping Organization set out in this Annex I; and
- e. where WADA determines that the International Federation or National Anti-Doping Organization (as applicable) is not discharging some or all of its whereabouts responsibilities under this Annex I, WADA may delegate some or all of those responsibilities to any other appropriate Anti-Doping Organization.

I.6.2 A National Federation must use its best efforts to assist its International Federation and/or National Anti-Doping Organization (as applicable) in collecting Whereabouts Filings from Athletes who are subject to that National Federation's authority, including (without limitation) making special provision in its rules for that purpose.

I.6.3 An Athlete may choose to delegate the task of making his/her Whereabouts Filings (and/or any updates thereto) to a third party, such as a coach, a manager or a National Federation, provided that the third party agrees to such delegation. The Anti-Doping Organization collecting the Athlete's

Whereabouts Filings may require written notice of any agreed delegation to be filed with it, signed by both the Athlete in question and the third party delegate.

[Comment to I.6.3: For example, an Athlete participating in a Team Sport or other sport where competing and/or training is carried out on a collective basis, may delegate the task of making his/her Whereabouts Filings to the team, to be carried out by a coach, a manager or a National Federation. Indeed, for the sake of convenience and efficiency, an Athlete in such a sport may delegate the making of his/her Whereabouts Filings to his/her team not only in respect of periods of Team Activities but also in respect of periods where he/she is not with the team, provided the team agrees. In such circumstances, the Athlete will need to provide the information as to his/her individual whereabouts for the period in question to the team, to supplement the information it provides in relation to Team Activities.]

I.6.4 In all cases, however, including in the case of Athletes in Team Sports:

- a. each Athlete in a Registered Testing Pool remains ultimately responsible at all times for making accurate and complete Whereabouts Filings, whether he/she makes each filing personally or delegates the task to a third party. It shall not be a defence to an allegation of a Filing Failure 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 Whereabouts Filings. It shall not be a defence to an allegation of a Missed Test that the Athlete delegated responsibility for filing his/her whereabouts information for the relevant period to a third party and that third party failed to file the correct information or failed to update previously-filed information so as to ensure that the whereabouts information in the Whereabouts Filing for the day in question was current and accurate.

[Comment to I.6.4: For example, if an attempt to test an Athlete during a 60-minute time slot designated within a particular Team Activity period is unsuccessful due to a team official filing the wrong information in relation to the Team Activity, or failing to update previously-filed information where the details of the Team Activity have subsequently changed, the team may be liable for sanction under the applicable rules of the International Federation for such failure, but the Athlete himself/herself will still be liable for a Whereabouts Failure. This must be the case because if an Athlete is able to blame his/her team if he/she is not available for Testing at a location declared by his/her team, then he/she will be able to avoid accountability for his/her whereabouts

for Testing. Of course the team has the same interest as the Athlete in ensuring the accuracy of the Whereabouts Filing and avoiding any Whereabouts Failures on the part of the Athlete.]

Annex J – Event Testing

J.1 As anticipated by Code Article 5.3.2., this Annex sets out the procedure to be followed by WADA in considering requests made by Anti-Doping Organizations for permission to conduct Testing at an Event where they have been unable to reach agreement on such Testing with the ruling body of the Event.

J.2 WADA’s aim in considering such requests is to encourage collaboration and coordination between different Anti-Doping Organizations to optimize the effectiveness of their respective Testing programs while ensuring that each Anti-Doping Organization’s responsibilities are properly managed to avoid creating operational disturbance and harassment for Athletes.

J.3 Any Anti-Doping Organization that is not responsible for initiating and directing Testing at an Event in accordance with Code Article 5.3.2, but which nevertheless desires to conduct Testing at such Event shall, **prior to contacting WADA**, request such permission from the ruling body of the Event in written form with full supporting reasons.

J.4 Such request shall be sent to the ruling body at least **35 days** prior to the beginning of the Event (i.e., 35 days prior to the beginning of the In-Competition period as defined by the rules of the International Federation in charge of that sport).

J.5 If the ruling body refuses, or does not respond within **7 days** from receipt of the request, the requesting Anti-Doping Organization may send to WADA (with a copy to the ruling body) a written request with full supporting reasons, a clear description of the situation, and all the relevant correspondence between the ruling body and the requesting Anti-Doping Organization. Such request must be received by WADA no later than **21 days** prior to the beginning of the Event.

J.6 Upon receipt of such request, WADA will immediately ask the ruling body for its position on the request and the ground for its refusal. The ruling body shall send WADA an answer within **7 days** of receipt of WADA’s request.

J.7 Upon receipt by WADA of the ruling body’s answer, or if no answer is provided by the ruling body within the **7 days**, WADA will render a reasoned decision within the next **7 days**. In making its decision, WADA will consider, amongst others, the following:

- a) The Test Distribution Plan for the Event, including the number and type of tests planned for the Event;

- b) The menu of *Prohibited Substances* for which the *Samples* collected will be analyzed;
- c) The overall anti-doping program applied in the sport;
- d) The logistical issues that would be created by allowing the requesting *Anti-Doping Organization* to test at the *Event*;
- e) Any other grounds submitted by the requesting *Anti-Doping Organization* and/or the ruling body refusing such *Testing*; and
- f) Any other available information that *WADA* considers relevant.

J.8 If *WADA* decides that permission for *Testing* at the *Event* should be granted, either as requested by the requesting *Anti-Doping Organization* or as proposed by *WADA*, *WADA* may give the ruling body the possibility of conducting such *Testing*, unless *WADA* judges that this is not realistic and/or appropriate in the circumstances.

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