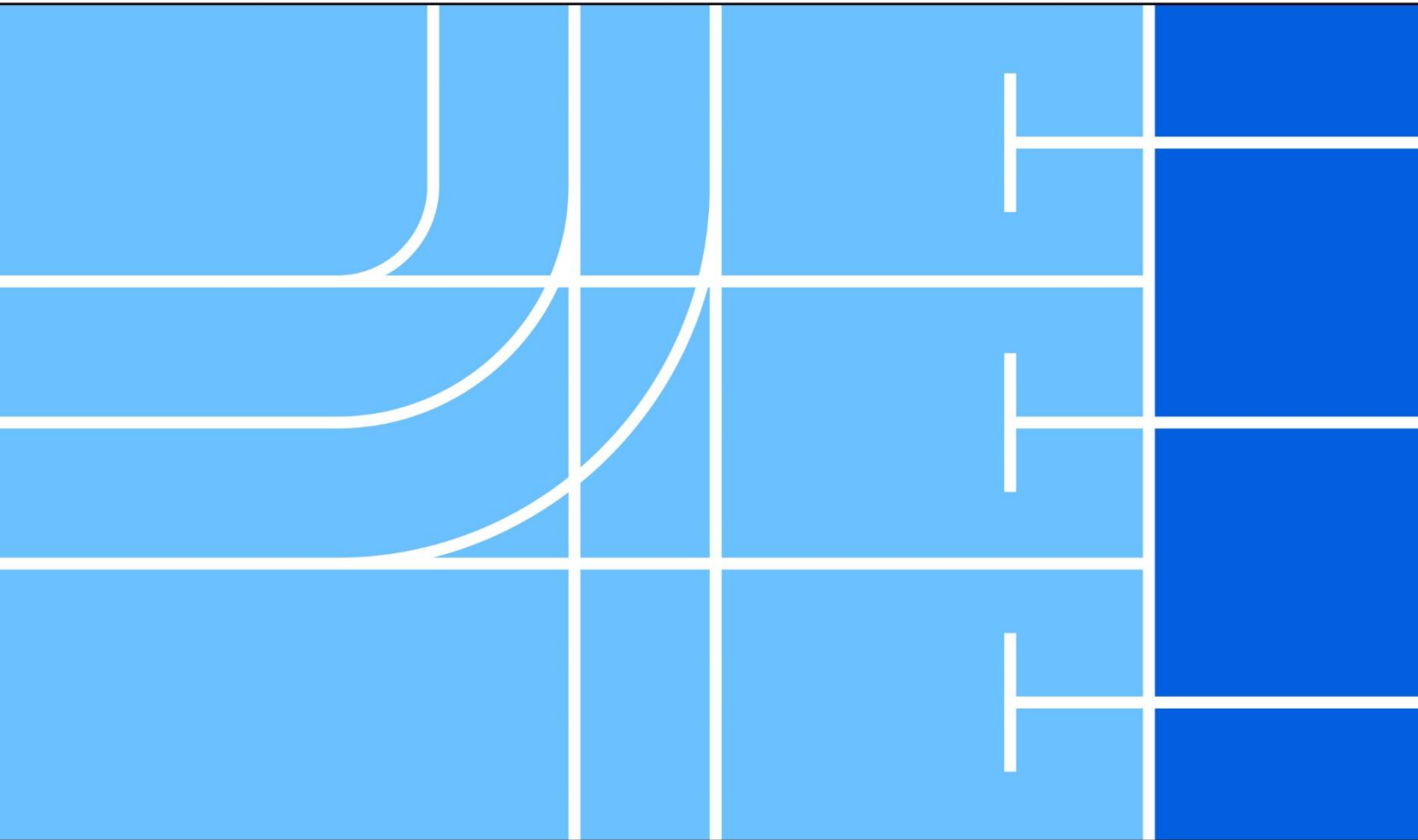




World Anti-Doping Code

International Standard for Testing



2027

International Standard for Testing

The World Anti-Doping *Code International Standard for Testing* is a mandatory *International Standard* developed as part of the World Anti-Doping Program. It was developed in consultation with *Signatories*, public authorities, and other relevant stakeholders.

The *International Standard for Testing* was first adopted in 2003 and came into effect in January 2004. It was subsequently amended six times, the first time effective January 2009; the second time effective January 2011; the third time it was renamed *International Standard for Testing and Investigations (ISTI)*, effective January 2015; the fourth time effective January 2017; the fifth time effective March 2019; the sixth time effective March 2020, the seventh time effective January 2021, the eighth time effective January 2023. This version of the IST (renamed from ISTI) incorporates further revisions approved by the WADA Executive Committee on 5 December 2025 and is effective as of 1 January 2027.

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PART ONE: INTRODUCTION, CODE PROVISIONS, INTERNATIONAL STANDARD PROVISIONS AND DEFINITIONS

1.0 Introduction and Scope

The first purpose of the *International Standard for Testing* is to plan for and implement intelligent and effective *Testing*, both *In-Competition* and *Out-of-Competition*, and to maintain the integrity, identity and security of the *Samples* collected from the point the *Athlete* is notified of his/her selection for *Testing*, to the point that their *Samples* are delivered to the Laboratory for analysis. To that end, the *International Standard for Testing* (including its Annexes) establishes mandatory standards for Test distribution planning (including the 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.

The *International Standard for Testing* is supported by *Technical Documents*, produced by WADA, to provide assistance to *Anti-Doping Organizations* in fulfilling their duties under the World Anti-Doping Program. *Technical Documents* are mandatory. *Athletes* should receive anti-doping education in accordance with the *International Standard for Education*. This is to support the principle that an *Athlete's* first experience with anti-doping should be with education rather than *Testing*.

Terms used in this *International Standard* that are defined terms from the *Code* are italicized. Terms that are defined in this or another *International Standard* are underlined.

2.0 Code Provisions

The following articles in the *Code* are directly relevant to the *International Standard for Testing*; they can be obtained by referring to the *Code* itself:

- Article 2 *Anti-Doping Rule Violations*
- Article 5 *Testing* and Investigations
- Article 6 Analysis of *Samples*
- Article 8 *Results Management*. Right to a Fair Hearing and Notice of Hearing Decision
- Article 10 Sanctions on Individuals
- Article 12 Sanctions by *Signatories* Against Other Sporting Bodies
- Article 13 *Results Management*. Appeals
- Article 14 Confidentiality and Reporting
- Article 20 Additional Roles and Responsibilities of *Signatories* and WADA
- Article 21 Additional Roles and Responsibilities of *Athletes* and Other *Persons*
- Article 23 Acceptance and Implementation

3.0 Definitions and Interpretation

3.1 Defined Terms from the *Code* that are used in the *International Standard for Testing*

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 laboratory that, consistent with the *International Standard for Laboratories*, establishes in a *Sample* the presence of a *Prohibited Substance* or its *Metabolites* or *Markers* 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: WADA or 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*, International Federations, and *National Anti-Doping Organizations*.

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

[Comment to Athlete: Individuals who participate in sport may fall in one of five categories: 1) *International-Level Athlete*, 2) *National-Level Athlete*, 3) individuals who are not *International* or *National-Level Athletes* but over whom the *International Federation* or *National Anti-Doping Organization* has chosen to exercise authority, 4) *Recreational Athlete*, and 5) individuals over whom no *International Federation* or *National Anti-Doping Organization* has, or has chosen to, exercise authority. All *International* and *National-Level Athletes* are subject to the anti-doping rules of the *Code*, with the precise definitions of *international* and *national-level sport* to be set forth in the anti-doping rules of the *International Federations* and *National Anti-Doping Organizations*.]

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

Athlete Support Personnel: Any coach, trainer, manager, agent, team staff, official, medical, paramedical personnel, parent or any other *Person* working with, treating or assisting an *Athlete* participating in or preparing for sports *Competition*.

Attempt: Purposely engaging in conduct that constitutes a substantial step in a course of conduct planned to culminate in the commission of an anti-doping rule violation. Provided, however, there shall be no anti-doping rule violation based solely on an *Attempt* to commit a violation if the *Person* renounces the *Attempt* prior to it being discovered by a third party not involved in the *Attempt*.

Atypical Finding: A report from a WADA-accredited laboratory or other WADA-approved laboratory which requires further investigation as provided by the applicable *International Standards* (including related *Technical Documents* or *Technical Letters*), WADA stakeholder notice, or as directed by WADA, prior to the final determination about the finding (i.e., the establishing, or not, of an anti-doping rule violation).

Atypical Passport Finding: A report described as an *Atypical Passport Finding* as described in the applicable *International Standards*.

CAS: The Court of Arbitration for Sport.

Code: The World Anti-Doping Code.

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

Consequences of Anti-Doping Rule Violations (“Consequences”): An *Athlete’s* or other *Person’s* violation of an anti-doping rule may result in one or more of the following: (a) *Disqualification* means the *Athlete’s* results in a particular *Competition* or *Event* are invalidated, with all resulting *Consequences* including forfeiture of any medals, points and prizes; (b) *Ineligibility* means the *Athlete* or other *Person* is barred on account of an anti-doping rule violation for a specified period of time from participating in any *Competition* or other activity or funding as provided in Article 10.14; (c) *Provisional Suspension* means the *Athlete* or other *Person* is barred temporarily from participating in any *Competition* or activity prior to the final decision at a hearing conducted under Article 8; (d) *Financial Consequences* means a financial sanction imposed for an anti-doping rule violation or to recover costs associated with an anti-doping rule violation; and (e) *Public Disclosure* means the dissemination or distribution of information to the general public or *Persons* beyond those *Persons* entitled to earlier notification in accordance with Article 14. Teams in *Team Sports* may also be subject to *Consequences* as provided in Article 11.

Decision Limit: The value above which a quantitative analytical result for a Threshold Substance in a *Sample* shall be reported as an *Adverse Analytical Finding*.

[Comment to Decision Limit: For more information on DLs and which Threshold Substances they are applied for, refer to the TD DL and other applicable Technical Documents (e.g., TD GH, TD CG/LH.)]

Delegated Third Party: Any *Person* to which an *Anti-Doping Organization* delegates any aspect of *Doping Control* or anti-doping *Education* programs including, but not limited to,

third parties or other *Anti-Doping Organizations* that conduct *Sample* collection or other *Doping Control* services or anti-doping *Educational* programs for the *Anti-Doping Organization*, or individuals serving as independent contractors who perform *Doping Control* services for the *Anti-Doping Organization* (e.g., non-employee *Doping Control* officers or chaperones). This definition does not include CAS.

Doping Control: All steps and processes from test distribution planning through to ultimate disposition of any appeal and the enforcement of *Consequences*, including all steps and processes in between, including but not limited to, *Testing*, investigation, whereabouts, *TUEs*, *Sample* collection and handling, laboratory analysis, *Results Management* and investigations or proceedings relating to violations of Article 10.14 (Status During *Ineligibility* or *Provisional Suspension*).

Education: The process of learning to instill values and develop behaviors that foster and protect the spirit of sport, and to prevent intentional and unintentional doping.

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

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

In-Competition: The period commencing at 11:59 p.m. on the day 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*. Provided, however, WADA may approve, for a particular sport, an alternative definition if an International Federation provides a compelling justification that a different definition is necessary for its sport; upon such approval by WADA, the alternative definition shall be followed by all *Major Event Organizations* for that particular sport.

[Comment to In-Competition: Having a universally accepted definition for In-Competition provides greater harmonization among Athletes across all sports, eliminates or reduces confusion among Athletes about the relevant timeframe for In-Competition Testing, avoids inadvertent Adverse Analytical Findings in between Competitions during an Event and assists in preventing any potential performance enhancement benefits from Substances prohibited Out-of-Competition being carried over to the Competition period.]

Independent Observer Program: A team of observers and/or auditors, under the supervision of WADA, who observe and provide guidance on the *Doping Control* process prior to or during certain *Events* and report on their observations as part of WADA's compliance monitoring program.

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* who compete in sport at the international level, as defined by each International Federation, consistent with the *International Standard for Testing*.

[Comment to International-Level Athlete: Consistent with the International Standard for Testing, 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.]

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*.

Major Event Organizations: The continental associations of *National Olympic Committees* and other international multisport organizations that function as the ruling body for any continental, regional or other *International Event*.

Marker: A compound, group of compounds or biological variable(s) that indicates the *Use* of a *Prohibited Substance* or *Prohibited Method*.

Minor: A natural *Person* who has not reached the age of 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*, manage test results and conduct *Results Management* at the national level. 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*.

National Olympic Committee: 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.

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

Person: A natural *Person* or an organization or other entity.

Prohibited Method: Any method so described on the *Prohibited List*.

Prohibited Substance: Any substance, or class of substances, so described on the *Prohibited List*.

Protected Person: An *Athlete* or other natural *Person* who at the time of the anti-doping rule violation: (i) has not reached the age of sixteen (16) years; (ii) has not reached the age of eighteen (18) years and is not included in any *Registered Testing Pool* and has never

competed in any *International Event* in an open category; or (iii) for reasons other than age, has been determined to lack legal capacity under applicable national legislation.

[Comment to Protected Persons: The Code treats Protected Persons differently than other Athletes or Persons in certain circumstances based on the understanding that, below a certain age or intellectual capacity, an Athlete or other Person may not possess the mental capacity to understand and appreciate the prohibitions against conduct contained in the Code. This would include, for example, a Paralympic Athlete with a documented lack of legal capacity due to an intellectual impairment. The term “open category” is meant to exclude competition that is limited to junior or age group categories. Those circumstances where a Protected Person or Recreational Athlete is to be treated differently than Persons or Athletes have been specifically identified in the Code. It should not be assumed, with respect to Article 7.4 or any other Article in the Code, that different treatment was intended where it is not specifically expressed.]

Provisional Suspension: See *Consequences of Anti-Doping Rule Violations* above.

Recreational Athlete: A natural *Person* who is so defined by the relevant *National Anti-Doping Organization*; provided, however, the term shall not include any *Person* who, within the five (5) years prior to committing any anti-doping rule violation, has been an *International-Level Athlete* (as defined by each International Federation consistent with the *International Standard for Testing*) or *National-Level Athlete* (as defined by each *National Anti-Doping Organization* consistent with the *International Standard for Testing*), has represented any country in an *International Event* in an open category or has been included within any *Registered Testing Pool* or other whereabouts information pool maintained by any International Federation or *National Anti-Doping Organization*.

[Comment to Recreational Athlete: The term “open category” is meant to exclude competition that is limited to junior or age group categories. Those circumstances where a Protected Person or Recreational Athlete is to be treated differently than Persons or Athletes have been specifically identified in the Code. It should not be assumed, with respect to Article 7.4 or any other Article in the Code, that different treatment was intended where it is not specifically expressed.]

Registered Testing Pool: The pool of highest-priority *Athletes* established separately at the international level by International Federations and at the national level by *National Anti-Doping Organizations*, who are subject to focused *In-Competition* and *Out-of-Competition Testing* as part of that International Federation's or *National Anti-Doping Organization's* test distribution plan and therefore are required to provide whereabouts information as provided in Article 5.5 and the *International Standard for Testing* and who shall be subject to at least three (3) planned *Out-of-Competition* tests per year.

Results Management: The process encompassing the timeframe between notification as per Article 5 of the *International Standard for Results Management*, or in certain cases (e.g., *Atypical Finding*, *Athlete Biological Passport*, whereabouts failure), such pre-notification steps expressly provided for in Article 5 of the *International Standard for Results Management*, through the charge until the final resolution of the matter, including the end of the hearing process at first instance or on appeal (if an appeal was lodged).

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

[Comment to Sample or Specimen: 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 accepting the *Code* and agreeing to implement the *Code*, as provided in Article 23.

Substantial Assistance: For purposes of Article 10.7.1, a *Person* providing *Substantial Assistance* must: (1) fully disclose in a signed written statement or recorded interview all information he or she possesses in relation to anti-doping rule violations or other proceeding described in Article 10.7.1.1 and (2) fully cooperate with the investigation and adjudication of any case or matter 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 remain credible and valuable throughout any subsequent investigation or proceeding.

Tampering: Intentional 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, offering or accepting a bribe to perform or fail to perform an act, preventing the collection of a *Sample*, affecting or making impossible the analysis of a *Sample*, falsifying documents submitted to an *Anti-Doping Organization* or *TUE* committee or hearing panel, procuring false testimony from witnesses, committing any other fraudulent act upon the *Anti-Doping Organization* or hearing body to affect *Results Management* or the imposition of *Consequences*, and any other similar intentional interference or *Attempted* interference with any aspect of *Doping Control*.

[Comment to *Tampering*: For example, this Article would prohibit altering identification numbers on a *Doping Control* form during *Testing*, breaking the *B* bottle at the time of *B Sample* analysis, altering a *Sample* by the addition of a foreign substance, or intimidating or attempting to intimidate a potential witness or a witness who has provided testimony or information in the *Doping Control* process. *Tampering* includes misconduct which occurs during the *Results Management* and hearing process. See Code Article 10.9.3.3. However, actions taken as part of a *Person's* legitimate defense to an anti-doping rule violation charge shall not be considered *Tampering*. 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.]

Target Testing: Selection of specific *Athletes* for *Testing* based on criteria set forth in the *International Standard for Testing*.

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

Technical Document: A document adopted and published by *WADA* from time to time containing mandatory technical requirements on specific anti-doping topics as set forth in an *International Standard*.

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

Testing Pool: The pool of *Athletes* that the International Federation or *National Anti-Doping Organization* considers to be a lesser priority and risk than those *Athletes* in the *Registered Testing Pool* and who are required to provide whereabouts information as outlined in the *International Standard for Testing* and who shall be subject to at least one planned *Out-of-Competition* test per year.

WADA: The World Anti-Doping Agency.

3.2 Defined Terms from the *International Standard for Laboratories*:

ABP Laboratory: A laboratory not otherwise accredited by WADA, which is approved by the WADA Executive Committee to apply Analytical Methods and processes in support of the Hematological Module of the ABP program.

[Comment to ABP Laboratory: To facilitate the comprehension and interpretation of ISL provisions, when requirements apply to both Laboratories and ABP Laboratories, both will be referred to as “Laboratory(-ies)”. If, instead, provisions apply exclusively to either Laboratories or ABP Laboratories, the specific definition will be used as applicable.

Instead, when the term “laboratory” is used, it implies laboratories that are neither WADA-accredited nor ABP approved, which may be involved in analytical areas other than anti-doping.]

Analytical Testing: The parts of the *Doping Control* process performed at the Laboratory or ABP Laboratory, which include *Sample* handling, analysis and reporting of results.

Analytical Testing Procedure: A Fit-for-Purpose procedure, as demonstrated through method validation, and used to detect, identify and/or quantify Analytes in a *Sample* for *Doping Control* purposes in accordance with the ISL and relevant *TDs*, *TLs* or *LGs*. An Analytical Testing Procedure is also referred to or known as an Analytical Method or Test Method.

Athlete Passport Management Unit (APMU): A unit composed of a *Person* or *Persons* that is responsible for the timely management of *Athlete Biological Passports* in *ADAMS* on behalf of the Passport Custodian.

Confirmation Procedure (CP): An Analytical Testing Procedure that has the purpose of confirming the presence and/or, when applicable, determining the quantitative value (e.g., concentration, ratio, score, or any other measurable analytical parameter, as defined by WADA) and/or establishing the origin (exogenous or endogenous) of one or more specific Analytes.

Further Analysis: Further Analysis, as this term is used in the ISL, occurs when a Laboratory conducts additional analysis on an “A” *Sample* or a “B” *Sample* after an analytical result for that “A” *Sample* or that “B” *Sample* has been reported by the Laboratory.

*[Comment to Further Analysis: There is no limitation on a Laboratory’s authority to conduct repeat or confirmation analysis, or to analyze a *Sample* with additional Analytical Methods, or to perform any other type of additional analysis on an “A” *Sample* or “B” *Sample* prior to reporting an analytical result on that *Sample*. That is not considered Further Analysis.*

*If a Laboratory is to conduct additional analysis on an “A” *Sample* or “B” *Sample* after an analytical result for that *Sample* has been reported (for example: additional *Sample* analysis to detect EPO, or GC/C/IRMS analysis, or analysis in connection with the ABP or additional analysis on a stored *Sample*) it may do so after receiving approval from the TA or RMA (if different) or WADA. However, after an *Athlete* has been charged with a Code Article 2.1 anti-doping rule violation and the case has not been finally resolved, then Further Analysis on that *Sample* may only be performed with the consent of the *Athlete* or approval from a hearing body (see Code Article 6.5).*

*Further Analysis may be performed by the same Laboratory that did the original Analytical Testing, or by a different Laboratory or other WADA-approved laboratory, at the direction of the TA or RMA (if different) or WADA. Any other ADO that wishes to conduct Further Analysis on a stored *Sample* may do so with the permission of the TA or RMA (if different) or WADA and shall be responsible for any follow-up Results Management. Any *Sample* storage or Further Analysis initiated by WADA, or another ADO shall be at WADA’s or that ADO’s expense.]*

Laboratory: A WADA-accredited laboratory, as approved by the WADA Executive Committee.

[Comment to Laboratory: To facilitate the comprehension and interpretation of ISL provisions, when requirements apply to both Laboratories and ABP Laboratories, both will be referred to as “Laboratory(-ies)”. If, instead, provisions apply exclusively to either Laboratories or ABP Laboratories, the specific definition will be used as applicable.

Instead, when the term “laboratory” is used, it implies laboratories that are neither WADA-accredited nor ABP approved, which may be involved in analytical areas other than anti-doping.]

3.3 Defined Terms from the *International Standard for Results Management*:

Adaptive Model: A mathematical model designed to identify unusual longitudinal results from *Athletes*. The model calculates the probability of a longitudinal profile of *Marker* values, assuming that the *Athlete* has a normal physiological condition.

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

Filing Failure: A failure by the *Athlete* (or by a third party to whom the *Athlete* has delegated the task) (1) to make an accurate and complete Whereabouts Filing that enables the *Athlete* to be located for *Testing* at the times and locations set out in the Whereabouts Filing or (2) to update that Whereabouts Filing where necessary to ensure that it remains accurate and complete, all in accordance with Article 4.10.6 of the *International Standard for Testing* and Annex B.2 of the *International Standard for Results Management*.

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 their Whereabouts Filing for the day in question, in accordance with Article 4.10.6 of the *International Standard for Testing* and Annex B.2 of the *International Standard for Results Management*.

Passport Custodian: The *Anti-Doping Organization* responsible for *Results Management* of that *Athlete*’s Passport and for sharing any relevant information associated to that *Athlete*’s Passport with other *Anti-Doping Organization(s)*.

Results Management Authority: The *Anti-Doping Organization* responsible for conducting *Results Management* in a given case.

Whereabouts Failure: A Filing Failure or a Missed Test.

3.4 Defined Terms from the *International Standard for the Data Protection*:

Processing (and its cognates, **Process** and **Processed**): Collecting, accessing, retaining, storing, disclosing, transferring, transmitting, amending, deleting or otherwise making use of Personal Information.

Third-Party Agent: Any *Person* that Processes Personal Information on behalf of, as delegated by, or as otherwise engaged by an *Anti-Doping Organization* in the context of the *Anti-Doping Organization*’s *Anti-Doping Activities* including, without limitation, a *Delegated Third Party* and any subcontractors.

3.5 Defined Terms from the *International Standard for Intelligence and Investigations*

Anti-Doping Intelligence: Anti-Doping Intelligence is the product of the evaluation and analysis of Raw Information to extract meaningful insights relevant to the end user (e.g., the *Anti-Doping Activities* of an *Anti-Doping Organization*).

Raw Information: Raw Information is any raw, unverified, or unevaluated information (in any form) related to *Anti-Doping Activities*. Raw Information can come in many forms including unprocessed data, information reports, media reports, and anonymous disclosures.

3.6 Defined Terms specific to the *International Standard for Testing*:

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

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

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

Code Article 2.4 Whereabouts Requirements: The whereabouts requirements set out in Article 4.10.6, which apply to *Athletes* who are included in the *Registered Testing Pool* of an International Federation or a *National Anti-Doping Organization*.

Doping Control Coordinator: An *Anti-Doping Organization* or a *Delegated Third Party* that coordinates any aspect of *Doping Control* on behalf of an *Anti-Doping Organization*. The *Anti-Doping Organization* always remains ultimately responsible under the *Code* for compliance with the requirements of the *International Standard for Testing, Therapeutic Use Exemptions, Data Protection, and Results Management*.

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

Doping Control Station: The location where the Sample Collection Session will be conducted in accordance with Article 6.3.2.

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*.

Risk Assessment: The assessment of risk of doping in a sport or sports discipline conducted by an *Anti-Doping Organization* in accordance with Article 4.2.

Sample Collection Authority: The organization that is responsible for the collection of *Samples* in compliance with the requirements of the *International Standard for Testing*, whether (1) the Testing Authority itself; or (2) a *Delegated Third Party* to whom the authority to conduct *Testing* has been granted or sub-contracted. The Testing Authority always remains ultimately responsible under the *Code* for compliance with the requirements of the *International Standard for Testing* relating to collection of *Samples*.

Sample Collection Equipment: A and B bottles, kits or containers, collection vessels, tubes or other apparatus used to collect, hold or store the *Sample* at any time during and after the Sample Collection Session that shall meet the requirements of Article 6.3.4.

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

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

Suitable Specific Gravity for Analysis: For *Samples* with a minimum volume of 90 mL and less than 150 mL, specific gravity measured at 1.005 or higher with a refractometer, or 1.010 or higher with lab sticks. For *Samples* with a volume of 150 mL and above, specific gravity measured at 1.003 or higher with a refractometer only.

Suitable Volume of Urine for Analysis: A minimum of 90 mL, whether the Laboratory will be analyzing the *Sample* for all or only some *Prohibited Substances* or *Prohibited Methods*.

Tamper Evident: Refers to having one or more indicators or barriers to entry incorporated into or, if applicable, included with the Sample Collection Equipment, which, if breached or missing or otherwise compromised, can provide visible evidence that *Tampering* or *Attempted Tampering* of Sample Collection Equipment has occurred.

Team Activity/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).

Technical Document for Sport Specific Analysis (TDSSA): The *Technical Document* which establishes minimum levels of analysis that *Anti-Doping Organizations* must apply to sports and sport disciplines for certain *Prohibited Substances* and/or *Prohibited Methods*, which are most likely to be abused in particular sports and sport disciplines.

Test(s): Any combination of *Sample(s)* collected (and analyzed) from a single *Athlete* in a single Sample Collection Session.

Test Distribution Plan: A document written by an *Anti-Doping Organization* that plans *Testing* on *Athletes*, in accordance with the requirements of Article 4.7.

Testing Authority: The *Anti-Doping Organization* that authorizes *Testing* on *Athletes* it has authority over. It may authorize a *Delegated Third Party* to conduct *Testing* pursuant to the authority of and in accordance with the rules of the *Anti-Doping Organization*. Such authorization shall be documented. The *Anti-Doping Organization* authorizing *Testing* remains the Testing Authority and ultimately responsible under the *Code* to ensure the

Delegated Third Party conducting the *Testing* does so in compliance with the requirements of the *International Standard for Testing*.

Unsuccessful Attempt Report: A detailed report of an unsuccessful attempt to collect a *Sample* from an *Athlete* in a *Registered Testing Pool* or *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. Such report shall be filed in *ADAMS*.

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 current and/or following quarter, in accordance with Article 4.10.6.

Whereabouts Pool: A pool of *Athletes* who are required to provide whereabouts information and who are subject to a minimum number of planned *Out-of-Competition Tests* annually.

3.7 Interpretation:

- 3.7.1 The official text of the *International Standard for Testing* shall be published in English and French. In the event of any conflict between the English and French versions, the English version shall prevail.
- 3.7.2 Like the *Code*, the *International Standard for Testing* has been drafted giving consideration to the principles of proportionality, human rights, and other applicable legal principles. It shall be interpreted and applied in that light.
- 3.7.3 The comments annotating various provisions of the *International Standard for Testing* shall be used to guide its interpretation.
- 3.7.4 Unless otherwise specified, references to Sections and Articles are references to Sections and Articles of the *International Standard for Testing*.
- 3.7.5 Where the term “days” is used in the *International Standard for Testing*, it shall mean calendar days unless otherwise specified.
- 3.7.6 The Annexes to the *International Standard for Testing* have the same mandatory status as the rest of the *International Standard*.

PART TWO: STANDARDS FOR TESTING

4.0 Planning Effective Testing

4.1 Objective

- 4.1.1 Each *Anti-Doping Organization* is required to plan and implement intelligent *Testing* on *Athletes over whom* it has authority which is proportionate to the risk of doping, and that is effective to detect and to deter such practices. The objective of Article 4 is to set out the steps that are necessary to develop a Risk Assessment and produce a Test Distribution Plan that satisfies this requirement. *Code* Article 23.3 requires *Signatories* to devote sufficient resources in order to implement *Testing* programs in all areas that are compliant with the *Code* and *International Standards*.
- 4.1.2 The *Anti-Doping Organization* shall ensure that *Athlete Support Personnel* and any other *Persons* with a conflict of interest are not involved in test distribution planning for their *Athletes* or in the process of selecting *Athletes* for *Testing*.
- 4.1.3 The *Anti-Doping Organization* shall document its Risk Assessment and Test Distribution Plan and shall provide that Risk Assessment and Test Distribution Plan to *WADA* where requested. 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 developed and/or implemented an appropriate Test Distribution Plan based on the results of that assessment.

4.2 Risk Assessment

- 4.2.1 The starting point of the Test Distribution Plan shall be a Risk Assessment, conducted in good faith. This assessment shall take into account (at a minimum) the following information and shall be reviewed and updated annually:
- 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);
 - Which *Prohibited Substances* and/or *Prohibited Methods* an *Athlete* would consider most likely to enhance performance in the relevant sport(s)/sport discipline(s);
 - The rewards and/or potential incentives for doping available at the different levels of the sport(s)/sport discipline(s) and for the nations participating in such sport(s)/sport discipline(s);
 - The history of doping in the sport(s)/sport discipline(s), nation(s) and/or *Event*;
[Comment to 4.2.1 (d): Unless there has been an effective Testing program in a sport, encompassing both In-Competition 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.]
 - Available statistics and research findings on doping trends (e.g., anti-doping *Testing* figures and anti-doping rule violation reports published by *WADA*; peer-reviewed articles);

- f) Raw Information received/ Anti-Doping Intelligence developed on possible doping practices in the sport (e.g., Laboratory and APMU Target Test/Further Analysis requests and/or recommendations; Sample Collection Personnel reports; *Athlete* testimony; Raw Information from criminal investigations; and/or other Raw Information received/ Anti-Doping Intelligence developed in accordance with the *International Standard* for Intelligence and Investigations and Article 12;
- g) The outcomes of previous test distribution planning cycles including past *Testing* strategies; and
- h) Data analysis of the sport including any performance changes within the sport/discipline at a national or international level or nation rankings.

4.2.2 The *Anti-Doping Organization* should also consider 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 monitor, evaluate and update its Risk Assessment during the year/cycle in light of changing circumstances.

4.3 Defining *International-Level* and *National-Level Athletes*

4.3.1 Code Article 5.2 gives different *Anti-Doping Organizations* authority to conduct *Testing* on potentially very large pools of *Athletes*. 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 *Athletes* 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 (in particular *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 authority who is not an International-Level Athlete, if it sees fit, e.g., where they are 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 Athletes under its authority who are not National-Level Athletes. 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 are completed, the next step is to determine an appropriate definition of *International-Level Athlete* (for an International Federation), or *National-Level Athlete* (for a *National Anti-Doping Organization*) who are going to be subject to *Testing* by an *Anti-Doping Organization*:

- 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 shall, at a minimum (and in accordance with the Risk Assessment undertaken in connection with the relevant sport/sports discipline), include those *Athletes* who compete regularly at an 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. For example, if the criteria include competing in certain International Events, then the International Federation shall 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 steppingstone to international *Competition*, including representation of the nation in *International Events* or *Competitions*). Consequently, the definition shall at a minimum (and in accordance with the Risk Assessment undertaken in connection with the relevant sport/sports discipline) include 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 may be selected to represent the country in *International Events* or *Competitions*). It shall also include those nationals of its country who generally or often compete at an international level and/or in *International Events* or *Competitions* (rather than at the 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* shall consider whether there are any factors warranting allocation of *Testing* resources to one sport or discipline or nation (as applicable) in priority to others and shall take into account without limitation their calendar of *Events*. This means having assessed the relative risks of doping:

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

[Comment to 4.4.1 (b): National Anti-Doping Organizations will have varying national policy requirements and priorities. For example, one 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 other 'national' sports. These policy imperatives are a relevant consideration in the National Anti-Doping Organization's test distribution planning, alongside its assessment of the relative risks of doping in the various sports played within its national jurisdiction. They may lead, for example, to a National Anti-Doping Organization deciding, in its Test Distribution Plan, for a particular period, (1) to allocate Testing to some sports within its jurisdiction but not others; and (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.]

- c) In the case of a *Major Event Organization*, allocating *Testing* between the different sports and/or disciplines involved in its *Event*.
- d) 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 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 *International-Level Athletes* and *National-Level Athletes* have been defined (see Article 4.3), and the priority sports/disciplines/nations have been established (see Article 4.4), an intelligent Test Distribution Plan uses individual *Athlete* risk assessment and *Target Testing* to focus *Testing* resources where they are most needed. *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 Whereabouts Pool.

[Comment to 4.5.1: Target Testing is a priority because random Testing, or even weighted random Testing, does not ensure that all the appropriate Athletes will be tested enough. The 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* and inclusion within a Whereabouts Pool the following categories of *Athletes*:

- a) For *International Federations*, *Athletes* (especially from its higher risk disciplines or higher ranked 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 higher risk sports/disciplines:
 - i. *Athletes* who are part of national teams and compete at major *Events* (e.g., Olympic Paralympic, World Championship and other multi-sport *Events*) or other sports of high national priority (or who may be selected for such teams);
 - ii. *Athletes* who train independently, and compete at major *Events* (e.g., Olympic Games, Paralympic Games, World Championship and other multi-sport *Events*), or who may be selected for such *Events*;
 - iii. *Athletes* in receipt of public funding;

- iv. *National-Level Athletes* who reside, train or compete abroad;

[Comment to 4.5.2 (b) (iv): Even if National-Level Athletes are not residing or training within the National Anti-Doping Organization's country, it is still that National Anti-Doping Organization's responsibility to ensure those Athletes are subject to testing abroad. The fact that an Athlete resides or frequently trains abroad is not a valid reason not to test them.]

- v. *National-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; and

- vi. In collaboration with International Federations, *International-Level Athletes*.

- c) For all *Anti-Doping Organizations* with 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.

[Comment to 4.5.2: Coordination between Anti-Doping Organizations shall occur in accordance with Article 4.10.18]

- 4.5.3** Other individual risk factors relevant to determining which *Athletes* shall be the subject of *Target Testing* and inclusion in a Whereabouts Pool shall also be considered by the *Anti-Doping Organization*. Relevant risk factors may include (but are not limited to):

- a) Prior anti-doping rule violations, Test history, including any abnormal biological parameters (blood parameters, steroid and endocrine profiles, as reported by an APMU, etc.);
- b) Sport performance history, performance pattern, and/or high performance without a commensurate Test record;
- c) Repeated failure to meet whereabouts requirements;
- d) Suspicious whereabouts patterns (e.g., last-minute updates of whereabouts information);
- e) Moving to or training in a remote location;
- f) Withdrawal or absence from expected *Competition(s)*;
- 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 an *Athlete* would be most likely to benefit from *Prohibited Substances* and/or *Prohibited Methods* (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 Raw Information from a third party, or Anti-Doping Intelligence developed by or shared with the *Anti-Doping Organization* in accordance with in accordance with the *International Standard* for Intelligence and Investigations and Article 12.

4.5.4 *Testing* which is not *Target Testing* shall be determined by Random Selection and should be conducted in accordance with the selection options in the Guidelines for Implementing an Effective *Testing* Program. Random Selection shall be conducted using a documented system for such selection. Random Selection may be either weighted (where *Athletes* are ranked using pre-determined criteria in order to increase or decrease the chances of selection) or completely random (where no pre-determined criteria are considered, and *Athletes* are chosen arbitrarily from a list or pool of *Athlete* names). Random Selection that is weighted shall be prioritized and be conducted according to defined criteria which may take into account the factors listed in Article 4.5.2 and 4.5.3 (as applicable) in order to ensure that a greater percentage of 'at risk' *Athletes* are selected.

[Comment to 4.5.4: In addition to Target Testing, 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* shall take place between 6 a.m. and 11 p.m. unless (i), the *Athlete* stipulates a 60-minute time slot from 5 a.m. or, (ii) valid grounds exist for *Testing* overnight (i.e., between 11 p.m. and 6 a.m.), 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 authority to conduct *Testing*, 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 6 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* and Analysis of *Samples*

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* and *Sample* matrixes are 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*. *In-Competition Testing* shall still take place

to deter doping, to protect the integrity of the *Event* and the results of the *Competition*. *Out-of-Competition* testing should be targeted across different periods of the year including but not limited to the period leading up to an *Athlete's* major *Event*, and during the *Athlete's* off season. *Out-of-Competition Testing* should not be focused solely on the period immediately prior to an *Event* when *Athletes* arrive where the *Competition* is being held and are more accessible to the Testing Authority.

- 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 significant 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.
 - iii. 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*. In these circumstances, the International Federation shall apply to WADA to seek an exemption from *Out-of-Competition Testing* in accordance with any protocol issued by WADA.
- b) Analysis of urine including but not limited to *Athlete Biological Passport* analyses for the Steroidal Module;
 - c) Analysis of venous blood including;
 - i. Whole blood including but not limited to *Athlete Biological Passport* analyses for the Hematological Module; and
 - ii. Serum, including but not limited to *Athlete Biological Passport* analyses for the Endocrine and/or Steroidal Module; and
 - d) Analysis of dried blood spots.

[Comment to 4.6.1 (c) and, (d): The requirements for venous blood in this International Standard for Testing apply, without limitation to Samples collected by venipuncture in accordance with Annex D - Collection of Venous Blood Samples and Annex I - Collection, Storage and Transport of Blood Athlete Biological Passport Samples and by capillary blood sampling in accordance with Annex J - Collection, Storage and Transport of Dried Blood Spot Samples; however, different requirements apply depending on the Sample Collection Equipment and the requested analyses e.g., specific requirements apply for dried blood spot Samples, which are collected and allowed to dry on an absorbent Sample support (i.e., dried blood spot cellulose card or other equipment made of another material.)]

4.7 Test Distribution Plan

4.7.1 In finalizing its Test Distribution Plan, the *Anti-Doping Organization* shall have considered and incorporated at a minimum the following:

- a) All of the steps outlined in Article 4.2 to 4.6;

- b) Requirements of the TDSSA;
- c) *Out-of-Competition Testing* based on 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/cycle *Athletes* would be most likely to benefit from *Prohibited Substances* and/or *Prohibited Methods*; and
- d) *In-Competition Testing* based on those sports/disciplines that have been identified in the Risk Assessment and the associated calendar of *Events* for the period of the Test Distribution Plan. *Anti-Doping Organizations* shall take into account unpredictability when selecting *Events* for *Testing*.

4.7.2 An *Anti-Doping Organization* shall allocate sufficient resources to be able to implement its Test Distribution Plan.

4.7.3 In advance of *International Events*, it is critical that *Anti-Doping Organizations* monitor those *Athletes* who may qualify for or have qualified for such *International Events* and conduct *Testing* on such *Athletes* in accordance with a comprehensive Risk Assessment. *Anti-Doping Organizations* shall allocate sufficient resources to Test such *Athletes* and where appropriate include them in a Whereabouts Pool.

[Comment to 4.7.3: Anti-Doping Organizations should consider and implement any Testing recommendations they may receive from external expert groups leading up to International Events such as the Olympic and Paralympic Games to ensure that a focused and robust Testing program is applied to those Athletes that are likely to participate.]

4.7.4 The *Anti-Doping Organization* shall monitor, evaluate and update its Test Distribution Plan during the year/cycle in light of changing circumstances and implementing the Test Distribution Plan. It shall adapt its Test Distribution Plan to reflect new information gathered, any Anti-Doping Intelligence developed by the *Anti-Doping Organization* and take into account *Testing* conducted by other *Anti-Doping Organizations*.

4.8 Sample Analysis

4.8.1 Laboratories shall analyze *Samples* collected by *Anti-Doping Organizations* using *In-Competition* or *Out-of-Competition Analytical Testing* menus. *Anti-Doping Organizations* may also consider undertaking more extensive *Sample* analysis for *Prohibited Substances* or *Prohibited Methods* beyond those contained (or the levels required) within the TDSSA based on the risk of the sport/discipline/country or any Anti-Doping Intelligence that the *Anti-Doping Organization* may receive.

4.8.2 Where a *Sample* is collected from an *Athlete* within 20 days of the *Athlete's* first competition at the Olympic or Paralympic Games for which an *Athlete* has qualified or is likely to participate, such *Sample(s)* shall be prioritized for expedited analysis and, where possible, results shall be reported at the latest 72 hours prior to the *Athlete's* first *Competition*. The *Anti-Doping Organization* in collaboration with the Laboratory shall use *ADAMS* to request and manage such prioritized analyses.

[Comment to 4.8.2: The objective of prioritized analysis during this 20-day period is to where possible ensure that any Athletes participating in the Olympic or Paralympic Games have analytical results reported at the latest 72 hours prior to Athlete's first Competition) to protect the integrity of the event, and the results of the Competition. For other major Events outside of the Olympic and Paralympic

Games, it is considered a best practice to follow these principles.

- 4.8.3** ADOs shall not avoid collecting *Samples* from *Athletes* during this 20-day window due to additional costs that may be associated with prioritized analysis or fear of not receiving the analytical results within the timeframe.
- 4.8.4** It is acknowledged that *Testing* may need to occur on *Athletes* close to the start of the Olympic or Paralympic Games where the analytical result may not be reported 72 hours prior to the *Athlete's* first *Competition* and that the Laboratory may need additional time to confirm specific analyses e.g., Isotope Ratio Mass Spectrometry (IRMS) or initial analytical procedures which may delay the reporting of results. Due to the potential high number of *Samples* that will require analysis during this period, Laboratories may have to prioritize the *Sample* analysis of Olympic or Paralympic *Athlete Samples* during this period over non-Olympic or non-Paralympic *Samples*. *Anti-Doping Organizations* shall proactively collaborate with the Laboratory when requesting prioritized *Sample* analysis so the Laboratory can ensure they have the resources to meet the request.
- 4.8.5** *An Anti-Doping Organization* may apply to WADA for flexibility in the implementation of the minimum levels of analysis specified for *Prohibited Substances* or *Prohibited Methods* as outlined in the TDSSA.

4.9 Retention of *Samples* and Further Analysis

- 4.9.1** *Anti-Doping Organizations* shall develop a written strategy for retention of *Samples* and the documentation relating to the collection of such *Samples* so as to enable the Further Analysis of such *Samples* at a later date in accordance with *Code* Articles 6.5 and 6.6. Such strategy shall comply with the requirements of the *International Standard* for Laboratories and the *International Standard* for Data Protection and shall take into account the purposes of analysis of *Samples* set out in *Code* Article 6.2. *Anti-Doping Organizations* shall put a *Sample* into long term storage if an APMU requests them to do so.

Anti-Doping Organizations shall consider the following elements or circumstances (without limitation) when considering long term storage or Further Analysis of *Samples*;

- a) Laboratory and APMU recommendations;
- b) The possible need for retroactive analysis in connection with the *Athlete Biological Passport* program;
- c) New or enhanced detection methods introduced in the future relevant to the *Athlete*, sport and/or discipline;
- d) *Samples* collected from *Athletes* meeting any of the criteria set out at Article 4.5;
- e) Any other information made available to the *Anti-Doping Organization* justifying long-term storage or Further Analysis of *Samples* at the *Anti-Doping Organization's* discretion.

[Comment to Article 4.9.1: Anti-Doping Organizations shall consider allocating sufficient resources to the annual Testing budget by including a contingency number of Samples within

their Test Distribution Plan so that their retention and Further Analysis strategy for Samples can be monitored and fulfilled.]

- 4.9.2** Samples that a Testing Authority requests the Laboratory to place into long-term storage after the Sample has been analyzed shall be recorded in ADAMS by the Testing Authority when they request such storage or within the minimum Sample storage period based on the type of Sample as outlined in the International Standard for Laboratories. The same applies for Sample(s) that an APMU requests the Testing Authority to put into long term storage. Once the request has been made by the Testing Authority, the Laboratory shall confirm in ADAMS that the Sample(s) have been placed into long-term storage along with any applicable information regarding the Sample(s).

4.10 Collecting Whereabouts Information

- 4.10.1** Whereabouts information is not an end in itself, but rather a means to an end, namely the efficient and effective conduct of No Advance Notice Testing. Therefore, where Out-of-Competition Testing is required to be conducted on Athletes following the Anti-Doping Organization's Risk Assessment and the prioritization steps (Articles 4.2 to 4.6), the Anti-Doping Organization shall then determine the Whereabouts Pool the Athlete will be included in and should use the whereabouts filed by those Athletes in order to conduct No Advance Notice Testing effectively. The Anti-Doping Organization must request and collect all of the whereabouts information in accordance with the requirements of the Whereabouts Pool the Athlete has been included in to conduct the Testing identified in its Test Distribution Plan effectively and efficiently.. Every Athlete must submit to Testing at any time and place upon request by an Anti-Doping Organization with authority to conduct Testing regardless of whether they are part of a Whereabouts Pool.
- 4.10.2** In accordance with Code Articles 5.5 and 14.5, Anti-Doping Organizations shall use ADAMS to conduct effective Doping Control including the collection of whereabouts information for Athletes in a Registered Testing Pool and Testing Pool. As a result, such information shall be automatically available through ADAMS to WADA and other relevant Anti-Doping Organizations with overlapping Testing Authority. This information shall:
- a) Be stored safely and securely and maintained in strict confidence at all times, is used exclusively for the purposes set out in Code Article 5.5 and is destroyed in accordance with the International Standard for Data Protection once it is no longer relevant;
 - b) Be used for purposes of planning, coordinating or conducting Doping Control and 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 authority to conduct Testing on the Athlete in accordance with Code Article 5.2;
 - c) Include the start date as to when an Athlete enters the Registered Testing Pool or Testing Pool and end date when they no longer meet the criteria and are removed from such pool as outlined within Articles 4.10.5.1 and 4.10.5.2 for

Athletes in a Registered Testing Pool or Articles 4.10.13.5 and 4.10.13.6 for Athletes in a Testing Pool.

- d) Be relevant to the *Athlete Biological Passport* or other analytical results;
- e) Support an investigation into a potential anti-doping rule violation; and/or
- f) Support proceedings alleging an anti-doping rule violation.

4.10.3 The International Federation or *National Anti-Doping Organization* shall be able to demonstrate to WADA that it has conducted an appropriate risk-based approach in allocating *Athletes* to their Whereabouts Pool(s) and has allocated sufficient *Out-of-Competition Tests* in its Test Distribution Plan as required in Articles 4.10.4.1 and 4.10.13.1.

4.10.4 Registered Testing Pool

4.10.4.1 The *Registered Testing Pool* includes *International or National-Level Athletes* who are subject to the greatest amount of *Testing* and whom the *Anti-Doping Organization* plans to test at least three (3) times per year *Out-of-Competition*. *Athletes* in a *Registered Testing Pool* are therefore required to provide whereabouts in accordance with Article 4.10.6.2. *Athletes* in the *Registered Testing Pool* shall be subject to Code Article 2.4 Whereabouts Requirements.

4.10.4.2 An International Federation or a *National Anti-Doping Organization* shall consider including *Athletes* into a *Registered Testing Pool* based on the following criteria:

- a) *Athletes* who meet the criteria listed in Articles 4.5.2 and 4.5.3;
- b) *Athletes* who are part of the *Anti-Doping Organization's* Hematological and/or any other Module of the *Athlete Biological Passport* program as required by the TDSSA;
- c) *Athletes* in a *Testing Pool* who fail to comply with the applicable whereabouts requirements of that pool;
- d) *Athletes* in a *Team Sport* who are not part of Team Activities for a period of time (e.g., during the off-season); and
- e) *Athletes* who are serving a period of *Ineligibility*.

[Comment to 4.10.4.2: Anti-Doping Organizations shall list in ADAMS the criteria it applied for selecting and including Athletes within its Registered Testing Pool. WADA may undertake a review of such criteria and the Athletes that have or have not been included within an Anti-Doping Organization's Registered Testing Pool at any time. If following such review WADA is not satisfied that the criteria used by the Anti-Doping Organization is sufficient and proportionate to the Risk Assessment undertaken, WADA may request that the Anti-Doping Organization adjust its criteria and/or request an Anti-Doping Organization include certain Athletes within its Registered Testing Pool who are not currently included.]

Following consideration of criteria in Article 4.10.4.2 a) to e) above and once the Athletes in the Registered Testing Pool are determined, the International

Federation or the National Anti-Doping Organization shall plan, independently or in agreed coordination with other Anti-Doping Organizations with Testing Authority over the same Athlete, to test any Athlete included in the Registered Testing Pool at least three (3) times Out-of-Competition per year.]

4.10.4.3 Athletes under the Testing Authority of a National Anti-Doping Organization and an International Federation should only be in one Registered Testing Pool to avoid duplication of Testing and maximize the use of resources. While being included in more than one Registered Testing Pool is possible, Athletes shall only file one set of whereabouts information. If the Athlete is included in the International Federation's Registered Testing Pool and in the National Anti-Doping Organization's 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 in writing the Athlete that they are in its pool. Prior to doing so, however, they shall agree between themselves to whom the Athlete shall provide their Whereabouts Filings, the Anti-Doping Organization that the Athlete files their whereabouts to shall be the whereabouts custodian. Each notice sent to the Athlete shall specify that they shall provide their Whereabouts Filings to that Anti-Doping Organization only and that information, will be accessible to any other Anti-Doping Organizations that have authority to conduct Testing on that Athlete via ADAMS.

[Comment to 4.10.4.3: 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.]

4.10.5 Entering and Leaving a Registered Testing Pool

4.10.5.1 The International Federation or National Anti-Doping Organization (as applicable) shall notify in writing each Athlete designated for inclusion in its Registered Testing Pool of the following:

- a) The fact that they have been included in its Registered Testing Pool with effect from a specified date in the future;
- b) The whereabouts requirements with which they shall therefore comply including that it is the Athlete's responsibility to ensure that they provide all the information required in a Whereabouts Filing as outlined in Article 4.10.6.2 accurately and in sufficient detail to enable any Anti-Doping Organization wishing to locate the Athlete for Testing on any given day in the quarter at the times and locations specified by the Athlete in their Whereabouts Filing for that day, including but not limited to during the 60-minute time slot specified for that day in the Whereabouts Filing;

- c) The *Consequences* if they fail to comply with those whereabouts requirements including Filing Failures and Missed Tests and their right to contest any of these that may be asserted against them;
- d) That their Whereabouts Filing will be shared through ADAMS with other *Anti-Doping Organizations* that have authority to conduct *Testing* on them and that they may be tested by other *Anti-Doping Organizations*; and

[Comment to 4.10.5.1: The notification of an Athlete's inclusion in a Registered Testing Pool shall ordinarily be made reasonably in advance of the Athlete being included in the Registered Testing Pool. The notice shall 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 shall be informed and should be educated so that they understand the whereabouts requirements that they must satisfy, and how the whereabouts system works. This notification may also 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.

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.]

4.10.5.2 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) They have been given written notice by each *Anti-Doping Organization* that included them in its *Registered Testing Pool* that they no longer meet the criteria for inclusion in its *Registered Testing Pool*; or
- b) They retire from national or international level *Competition* in their sport in accordance with the applicable rules and give written notice to that effect to each *Anti-Doping Organization* that included them in its *Registered Testing Pool*.

[Comment to 4.10.5.2: The applicable rules may also require that written notice of retirement be sent to the Athlete's National Federation. Where an Athlete retires from but then returns to sport, the period of retirement shall be disregarded for purposes of calculating the 12-month period referred to in Code Article 2.4. For International Level Athletes or National-Level Athletes who were in a Registered Testing Pool at the time of their retirement and who wish to return to active participation in sport, see Code Article 5.6.1 regarding the requirements the Athlete is subject to, prior to competing in any International Events or National Events.]

4.10.6 Whereabouts Filing Requirements for Athletes in a Registered Testing Pool

4.10.6.1 *Athletes in a Registered Testing Pool shall;*

- a) Make quarterly Whereabouts Filings that provide accurate and complete information about the *Athlete's* whereabouts during the forthcoming quarter, including identifying where they will be living, training and competing during that quarter, and to update those Whereabouts Filings where necessary, so that they can be located for *Testing* during that quarter at the times and locations specified in the relevant Whereabouts Filing.
- b) Make their Whereabouts Filing by the 15th day of each month preceding the start of a calendar quarter (i.e., 15 December, 15 March, 15 June and 15 September, respectively). A failure to submit a Whereabouts Filing by the 15th day of the month preceding the quarter shall result in an apparent Filing Failure being issued to the *Athlete*.

[Comment to 4.10.6.1 b): The filing of whereabouts by the 15th day of the month preceding the start of the following quarter will facilitate planning and readiness for Testing on the first day of the quarter.]

4.10.6.2 *Athletes in a Registered Testing Pool shall file the following information as part of their Whereabouts Filing:*

- a) 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* during the full 60-minute time slot at a specific location.
- b) 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, including the house, apartment, block, room number, etc.);
- c) For each day during the following quarter, the name and address of the training location(s) where the *Athlete* will train as well as the general time frames for such training activities (morning, afternoon, evening);
- d) The *Athlete's* *Competition/Event* schedule for the following quarter, including the name of the *Competition/Event* and address of each location where the *Athlete* is scheduled to compete during the quarter and the date(s) and time(s) at which they are scheduled to compete at such location(s);
- e) Include and upload as part of their Whereabouts Filing an accurate passport style photograph to their *ADAMS Athlete* profile page in accordance with the requirements set out in *ADAMS*, to assist with validating the *Athletes* identity when selected for a Test;

- f) A personal phone number which they can be contacted on should the *Anti-Doping Organization* decide to call them within the last five (5) minutes of the 60-minute time slot in accordance with Article 4.10.7.1 h);
- g) A complete mailing address and personal e-mail 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* seven (7) days after it was deposited in the mail and immediately when notification of a sent e-mail receipt is generated/obtained (subject to applicable law);

[Comment to 4.10.6.2 g): For these purposes, the Athlete should specify an address where they live or otherwise know that mail received there will be immediately brought to their 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, approved social networking sites or applications 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.]

[Comment to 4.10.6.2 An Anti-Doping Organization may request an Athlete to provide additional whereabouts information as part of their Whereabouts Filing other than the mandatory requirements outlined in Article 4.10.6.2 a) to g), however if the Athlete does not file or update such additional whereabouts the Athlete shall not be subject to a Filing Failure for the additional whereabouts information. However, if such information is filed then the Athlete should keep it accurate and up to date.]

- 4.10.6.3** *Anti-Doping Organizations shall review Athletes' Whereabouts Filings to ensure they are submitted in accordance with Articles 4.10.6.1 (filed by the due date) and 4.10.6.2 (the mandatory whereabouts information has been filed).*

4.10.7 Requirements for the 60-minute Time Slot

- 4.10.7.1** 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.
- a) An *Athlete* in a *Registered Testing Pool* shall specifically be present and available for *Testing* on any day for the duration of the 60-minute time slot specified that day in their Whereabouts Filing, at the location that the *Athlete* has specified for that time slot.
 - b) The *Athlete* can choose which 60-minute time slot between 5:00 a.m. and 11:00 p.m. provided that during the time slot in question they are somewhere accessible by the DCO. It could be the *Athlete's* place of residence, or other overnight address, training location or *Competition*. An *Athlete* is entitled to specify a 60-

minute time slot during which they will be at a hotel, apartment building, gated community or other location where access to the *Athlete* may be restricted due to various security measures, such as a front reception desk, or security guard. It is the *Athlete's* responsibility to ensure accessibility to their selected 60-minute location with no advance warning to the *Athlete*. In either case, however, any failure to be accessible and available for *Testing* at the specified location during the specified time slot shall be pursued as an apparent Missed Test.

- c) If the *Athlete* is notified during the 60-minute 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).
- d) 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 report the details of the delay in availability of the *Athlete*. 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 additional *Target Testing* of the *Athlete*.
- e) If an *Athlete* is not available for *Testing* during their specified 60-minute time slot at the location specified for that time slot for that day, they will be liable for an apparent Missed Test even if they are located later that day and a *Sample* is successfully collected from them.
- f) The provision of a 60-minute time slot 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 authority to conduct *Testing* on them. Nor does it limit their obligation to provide the information specified in Article 4.10.6.2 b) to d) as to their whereabouts outside that 60-minute time slot.
- g) 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 they should do what is reasonable in the circumstances to try to locate the *Athlete*. See *WADA's* *Guidelines for Sample Collection* for guidance in determining what is reasonable in such circumstances.
- h) Where an *Athlete* has not been located despite the DCO's reasonable efforts, and there are only five (5) minutes left within

the 60-minute time slot, then as a last resort the DCO should phone the *Athlete* (unless the Testing Authority instructs otherwise) using the *Athlete*'s personal phone number provided in their Whereabouts Filing to see if they are 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 them 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 shall file an Unsuccessful Attempt Report. If the sample is collected after the phone call has been made, the *Anti-Doping Organization* shall record the Test in *ADAMS* as advance notice.

[Comment to 4.10.7.1 h): If the phone call made to the Athlete during the last five (5) minutes of the 60-minute time slot is not successful, it shall not be relevant to the reasonableness of the DCO's attempts to locate the Athlete during the 60-minute time slot and shall not constitute a defence to liability for a Missed Test.]

4.10.7.2

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 they are staying overnight, training or competing 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 their time slot and/or location at the last minute. Such

Anti-Doping Intelligence can be relied upon as a basis for the *Target Testing* of such *Athlete*.

4.10.8 Requirements for Providing an Overnight Address

4.10.8.1 An *Athlete's* overnight address is the location where the *Athlete* will stay/sleep overnight and wake up in the morning. The overnight address is a mandatory part of an *Athlete's* Whereabouts Filing and could be their residential home or another location.

- a) If an *Athlete's* travel includes an overnight portion and does not permit the *Athlete* to have a physical overnight address to file, then they shall provide their travel details as part of their Whereabouts Filing for that particular day(s).

4.10.9 Requirements for Providing Training Location(s)

4.10.9.1 The provision of an *Athlete's* training location(s) where an *Athlete* trains and/or practices their sport is a mandatory part of their Whereabouts Filing and is a location(s) where *Anti-Doping Organizations* will likely attempt *Out-of-Competition Testing* when *Testing* the *Athlete* outside the of their nominated 60-minute time slot.

- a) If an *Athlete's* training location(s) changes and is different to the training locations they filed at the start of the quarter, then the *Athlete* is required to update the name and address of the new training location(s) for the period in which they will be training at the training location(s) and provide the general time frames that they expect to train. A failure to update the change of training locations shall be pursued as a possible Filing Failure;
- b) An *Athlete* is required to file general time frames for when they will conduct their training, general timeframes shall include morning (between 5:00 a.m. and 12:00 p.m.), afternoon (between 12:00 p.m. and 6:00 p.m.) or evening (between 6:00 p.m. and 11:00 p.m.). If *Athletes* wish to provide more specific timeframes they are encouraged to do so.

[Comment to 4.10.9.1.b): For example, if the Athlete's training routine includes training at the pool in the morning, then the Athlete should provide the name and address of the pool as their training location in their Whereabouts Filing, and then include 'morning' as their general timeframe.]

- c) If the *Athlete* does not have a fixed location in which they conduct their training activities such as road cycling or road running, then the *Athlete* is required to include the address of the location where the *Athlete* will start and finish the training activity as well as the general timeframes.
- d) If the *Athlete* is not currently training or will not train on a particular day or days during the quarter, they shall specify that in their

Whereabouts Filing and detail whether it is a rest day, travel, vacation, injured or other.

- e) 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* training activities are likely to include most, if not all, Team Activities.

4.10.10 Requirements for Providing *Competition/Event Schedules*

- 4.10.10.1 An *Athlete* shall file their quarterly *Competition/Event* schedule that they plan to compete in and update it accordingly during the quarter to ensure it remains accurate. This includes any travel related to their participation in such *Competition/Event*.

[Comment to 4.10.10.1: An Athlete who provides updates to their whereabouts that indicate the Athlete is travelling to or competing in a Competition should update their Whereabouts Filing as soon as circumstances are known and confirmed and not on the day of such travel or the first day of the competition.]

4.10.11 *Athletes Responsibility to File and Update their Whereabouts*

- 4.10.11.1 It is the *Athlete's* responsibility to ensure that they provide all of the information required in a Whereabouts Filing as outlined in Articles 4.10.6.2 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 their Whereabouts Filing for that day, including but not limited to during the 60-minute time slot specified for that day in the Whereabouts Filing.

- a) More specifically, the *Athlete* shall 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 with no advance notice to the *Athlete*. A failure to do so may be pursued as an apparent 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 4.10.11.1 (a): 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 them. 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. Further information on Whereabouts Filing requirements can be found in WADA's Guidelines for Implementing an Effective Testing Program. Where an Athlete does not know precisely what their whereabouts will be at all times during the forthcoming quarter, they must provide

their best information, based on where they expect to be at the relevant times, and then update that information as necessary in accordance with Article 4.10.6.]

4.10.11.2 Where a change in circumstances means that the information in a Whereabouts Filing is no longer accurate or complete, the *Athlete* shall file an update so that the information on file is again accurate and complete. The *Athlete* must always update their Whereabouts Filing to reflect any change in any day in the quarter in question in particular;

- a) In the time or location of the 60-minute time slot;
- b) In the place where they are staying overnight;
- c) The training location(s); and
- d) The *Competition/Event* schedule.

[Comment to 4.10.11.2: The Athlete shall file the update as soon as possible after they become aware of the change in circumstances, and in any event prior to their filing for the relevant day for e.g. prior to the 60-minute time slot.

For the avoidance of doubt, an Athlete who updates their 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 they are located for Testing during that time slot.

A failure to update may be pursued as an apparent 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.

The Anti-Doping Organization collecting the Athlete's Whereabouts Filings should provide appropriate mechanisms (e.g., phone, fax, Internet, email, SMS, approved social networking sites or applications) to facilitate the filing of such updates. It is the responsibility of each Anti-Doping Organization with authority to conduct Testing on 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 their Whereabouts Filing.]

4.10.12 Testing Outside the 60-minute Time Slot

4.10.12.1 *Anti-Doping Organizations* shall attempt to conduct at least one of the three (3) planned Out-of-Competition Tests on an *Athlete* in a *Registered Testing Pool* outside of the *Athlete's* nominated 60-minute time slot in an attempt to reduce the predictability of *Testing* and promote greater deterrence.

4.10.12.2 An *Anti-Doping Organizations* attempt to Test the *Athlete* outside of the 60-minute time slot shall not take place one hour before or after the *Athlete's* nominated 60-minute time slot and should utilize the *Athlete's* training location(s) before an attempt is made at the *Athlete's* overnight residence (unless the Testing Authority advises otherwise). If the *Athlete* cannot be located at either of these locations or any other whereabouts location the *Athlete* may have provided, the DCO shall

file an Unsuccessful Attempt Report and the *Anti-Doping Organization* shall determine whether a subsequent attempt is made outside the 60-minute time slot or during the *Athlete's* 60-minute time slot as soon as possible in the case the *Athlete* may be aware of the unsuccessful attempt.

4.10.13 Testing Pool

4.10.13.1 The whereabouts pool below the *Registered Testing Pool* is the *Testing Pool* and shall include *Athletes* whom the *Anti-Doping Organization* plans to test at least once per year *Out-of-Competition*. The whereabouts information shall include an overnight address, *Competition/Event* schedule, training locations and Team Activities or training activities. *Athletes* in a *Testing Pool* are not subject to the requirements of *Code Article 2.4*. An International Federation or a *National Anti-Doping Organization* shall consider the following criteria for including *Athletes* into a *Testing Pool*:

- a) *Athletes* from *Team Sports* who can be located for *Testing* through Team Activities and team *Competition/Events*.
- b) *Athletes* from individual sports/disciplines who have not met the criteria for entry into a *Registered Testing Pool* but who compete at a national or international level as defined by the International Federation or *National Anti-Doping Organization* and who are considered of sufficient risk following the *Anti-Doping Organization's Risk Assessment*.

4.10.13.2 Where 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 decide that it is sufficient to include *Athletes* as part of the team in a *Testing Pool*. However, in periods where there are no Team Activities scheduled (e.g., the off-season) or where an *Athlete* is not participating in Team Activities (e.g., is rehabilitating after an injury), then the *Athlete* may be required by the International Federation or *National Anti-Doping Organization* rules or procedures to provide more individualized whereabouts to enable No Advance Notice Testing of the *Athlete* during these periods. If the whereabouts information requested is not sufficient to conduct the No Advance Notice Testing during these periods, it shall put the *Athletes* into its *Registered Testing Pool* and Code Article 2.4 Whereabouts Requirements will apply.

4.10.13.3 To ensure accurate whereabouts are filed and maintained by *Athletes* in a *Testing Pool*, an International Federation or a *National Anti-Doping Organization* shall, within their rules and procedures, include appropriate and proportionate non-*Code Article 2.4* consequences to individual *Athletes* or teams who are part of a *Testing Pool* if;

- a) the whereabouts information is not filed on the date outlined in Article 4.10.6.1b) and/or any periodic updates required to be filed during the quarter e.g. weekly or monthly as stated in the rules; or
- b) the whereabouts information is not found to be accurate following an attempt to test; or
- c) information is obtained that is contrary to the whereabouts information provided.

[Comment 4.10.13.3: Such consequences may be in addition to the elevation of an Athlete into the Registered Testing Pool as described in Article 4.10.4.1 (c)].

4.10.13.4 Whereabouts for *Athletes* in a *Testing Pool* shall be filed in *ADAMS* by the 15th day of the month preceding the start of the quarter to enable better *Testing* coordination between *Anti-Doping Organizations*. An International Federation or a *National Anti-Doping Organization* may request whereabouts updates during the quarter with more regular deadlines e.g., weekly or monthly within their rules or procedures which better suit the needs and demands of Team Activities in the relevant sport(s).

4.10.13.5 *Athletes* designated for inclusion in a *Testing Pool* shall be notified in writing in advance by the International Federation and *National Anti-Doping Organization* of their inclusion in the *Testing Pool*, the whereabouts requirements outlined in Article 4.10.13.1 and the consequences that apply should they fail to comply with those whereabouts requirements.

4.10.13.6 *Athletes* in a *Testing Pool* shall be notified in writing when they no longer meet the applicable criteria and are removed from a *Testing Pool*.

4.10.13.7 *Athletes* in a *Testing Pool* shall upload as part of filing their whereabouts an accurate passport style photograph to their *ADAMS Athlete* profile page, in accordance with the requirements in *ADAMS* to assist with validating the *Athletes* identity when selected for a Test.

4.10.14 General Pool

4.10.14.1 International Federations and *National Anti-Doping Organizations* may decide to allocate some *Out-of-Competition Testing* within their Test Distribution Plan for *Athletes* who do not meet the criteria for entry into a *Registered Testing Pool* or *Testing Pool* and where there are no whereabouts requirements on the *Athletes*. *Athletes* in the general pool would normally be lower risk *Athletes* as determined by the *Anti-Doping Organization's Risk Assessment*. *Athletes* in a general pool are not subject to Code Article 2.4 Whereabouts Requirements.

Comment to 4.10.14.1: Whereabouts for Athletes in a general pool could be obtained from various sources such as open source, national sports federations i.e. training

camp information or competitions the Athletes may be competing in.

4.10.15 Selecting Athletes for Different Whereabouts Pools and Coordination Between International Federations and *National Anti-Doping Organizations*.

4.10.15.1 Each International Federation and *National Anti-Doping Organization* has the discretion to select which *Athlete* goes into which type of whereabouts pool. However, the International Federation and *National Anti-Doping Organization* shall be able to demonstrate they have made a proper assessment of the relevant risks, the necessary prioritization in accordance with Articles 4.2 to 4.6, and that they have adopted appropriate criteria based on the results of that assessment.

4.10.15.2 Once an International Federation and *National Anti-Doping Organization* have selected *Athletes* for either their *Registered Testing Pool* and/or *Testing Pool* they shall maintain the list of *Athletes* through *ADAMS* with the relevant International Federation and *National Anti-Doping Organization*.

4.10.15.3 If an *Athlete* is in one whereabouts pool of their International Federation and another whereabouts pool for their *National Anti-Doping Organization*, they shall file their whereabouts to only one whereabouts custodian and comply with whichever Whereabout Pool has the greater whereabouts requirements. If an *Athlete* is in two Whereabouts Pools of the same level i.e. the *Registered Testing Pool* of both the *International Federation* and the *National Anti-Doping Organization*, then the two organizations shall collaborate and agree who shall be the whereabouts custodian.

[Comment to Article 4.10.15.3: Whereabouts custody can be transferred in ADAMS by the whereabouts custodian to another ADO with Testing jurisdiction over the Athlete. ADOs should have a procedure in place to monitor their pool of Athletes at regular intervals (ex. quarterly) by using the reporting functionalities in ADAMS.. A transfer of whereabouts custody requires the new whereabouts custodian to manage any potential Whereabouts Failures.]

4.10.15.4 International Federations and *National Anti-Doping Organizations* shall coordinate *Athlete* whereabouts pool selection, removal and *Testing* activities to avoid duplication and maximize use of resources. As a result of such coordination and resource efficiencies, either the International Federation or *National Anti-Doping Organization* shall consider adding more *Athletes* to its *Registered Testing Pool* or *Testing Pool* to ensure a greater level of *Testing* is conducted across a wider range of “at risk” *Athletes* within a sport.

4.10.15.5 Each International Federation and each *National Anti-Doping Organization* shall:

- a) Regularly review and update as necessary their criteria for including *Athletes* in their *Registered Testing Pool* and *Testing Pool(s)* to ensure that they remain fit for purpose, i.e., they are capturing all appropriate *Athletes*. They shall take into account the

Competition/Event calendar for the relevant period and change or increase the number of *Athletes* in the *Registered Testing Pool* or *Testing Pool* in the lead-up to a major *Event* (e.g., Olympic Games, Paralympic Games, World Championship and other multi-sport *Events*) to ensure those *Athletes* participating are subject to a sufficient level of *Out-of-Competition Testing* in accordance with any Risk Assessment.

- b) Periodically review during the year/cycle in light of changing circumstances the list of *Athletes* in their *Registered Testing Pool* and *Testing Pool(s)* 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/or *Testing Pool* and *Athletes* who meet the criteria should be added. The International Federation and *National Anti-Doping Organization* shall advise such *Athletes* of the change in their status and make a new list of *Athletes* in the applicable pool available in ADAMS, without delay.

4.10.16 Major Event Organizations

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

- a) If the *Athletes* are in a *Registered Testing Pool*, then the *Major Event Organization* may access their Whereabouts Filings for the relevant period in order to conduct *Out-of-Competition Testing* on them; or
- b) The *Major Event Organization* may adopt *Event-specific* rules, including consequences requiring *Athletes* or the relevant third party to provide such information about their whereabouts for the relevant period as it deems necessary and proportionate in order to conduct *Out-of-Competition Testing*.

4.10.17 Whereabouts Responsibilities

4.10.17.1 Notwithstanding any other provision of Article 4.10:

- 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 Article 4.10 to the *National Anti-Doping Organization* or Doping Control Coordinator subject to (f) below;
- b) An International Federation may delegate some or all of its whereabouts responsibilities under Article 4.10 to the *Athlete's* National Federation or Doping Control Coordinator subject to (f) below; or
- c) A *National Anti-Doping Organization* may delegate some or all of its whereabouts responsibilities under Article 4.10 to the *Athlete's*

National Federation, Doping Control Coordinator or other appropriate *Anti-Doping Organization* with authority over the *Athlete* in question subject to (f) below;

- 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 Article 4.10; 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 Article 4.10, WADA may delegate some or all of those responsibilities to any other appropriate *Anti-Doping Organization*.
- f) At all times the *Anti-Doping Organization* (whether the International Federation, *National Anti-Doping Organization* or other *Anti-Doping Organization* with authority over the *Athlete* in question) that delegates its responsibilities (in whole or in part) to a National Federation or Doping Control Coordinator remains ultimately responsible for the acts and/or omissions of such entity to whom it has delegated authority.

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

4.10.17.3 An *Athlete* may choose to delegate the task of filing their whereabouts (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 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 4.10.17.3: 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 filing their whereabouts 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 filing of their whereabouts to their team not only in respect of periods of Team Activities but also in respect of periods where they are not with the team, provided the team agrees. In such circumstances, the Athlete will need to provide the information as to their individual whereabouts for the period in question to the team, to supplement the information it provides in relation to Team Activities.]

4.10.17.4 In all cases, however, including in the case of *Athletes* in *Team Sports*:

- a) Each *Athlete* remains ultimately responsible at all times for filing accurate and complete whereabouts and for being available for *Testing* at the times and locations specified in their whereabouts,

whether they make each filing personally or delegate the task to a third party. When an *Athlete* is subject to whereabouts requirements, whether included in a *Registered Testing Pool* or *Testing Pool*, the *Athlete* cannot use as a defense to avoid applicable *Consequences*, that they delegated such responsibility to a third party and the third party failed to comply with the applicable whereabouts requirements.

- b) For *Athletes* in a *Registered Testing Pool*, it shall not be a defence to an allegation of a Filing Failure or Missed Test that the *Athlete* delegated responsibility for filing their 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 4.10.17.4: For example, if an attempt to test an Athlete in a Registered Testing Pool during a 60-minute time slot is unsuccessful due to a third party filing the wrong information or failing to update previously-filed information where the details have subsequently changed, the Athlete will still be liable for a Whereabouts Failure. This must be the case because if an Athlete is able to blame their third party for being unavailable or inaccessible for Testing at a location specified by their third party, then they will be able to avoid accountability for their whereabouts for Testing. Of course, the third party 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. If the third party is 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, then the team may be separately liable for sanction under the applicable rules of the International Federation or National Anti-Doping Organization for such failure. If the Athlete/s is/are in a Testing Pool, then the Athlete(s) will be subject to the applicable consequences under the rules of the International Federation or National Anti-Doping Organization in accordance with Article 4.10.13.3.]

4.10.18 Coordinating with Other Anti-Doping Organizations

4.10.18.1 *Anti-Doping Organizations* shall coordinate their *Testing* efforts with the efforts of other *Anti-Doping Organizations* with overlapping Testing Authority, in order to maximize the effectiveness of those combined efforts, to avoid unnecessarily repetitive *Testing* of particular *Athletes* and to ensure *Athletes* competing at *International Events* are suitably tested in advance. In particular, *Anti-Doping Organizations* shall:

- a) Consult with other relevant *Anti-Doping Organizations* in order to coordinate *Testing* activities (including *Athlete* whereabouts pool selection and Test Distribution Plans, which may include *Out-of-Competition Testing* in the lead up to a major *Event*) 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 H - *Event Testing*;

- b) Within twenty-one (21) days of *Sample* collection, enter the *Doping Control* form into ADAMS for all types of *Samples* collected, except blood *Athlete Biological Passport Samples*.
- c) Within five (5) days of *Sample* collection, enter the *Doping Control* form into ADAMS for all blood *Athlete Biological Passport Samples* collected.

*[Comment to Article 4.10.18.1 c): Given the blood Athlete Biological Passport Sample is required to be analyzed shortly after receipt at the Laboratory and the analytical results reported into the passport module for the Athlete shortly after analysis, the respective APMU may request further follow up action from the Testing Authority following its review of the Athlete's passport. This may include the collection of a further sample(s) within a short time frame. As such to further support the importance and timeliness of a further sample collection, the entry of the *Doping Control* form into ADAMS shall be expedited compared to other *Sample* types.]*

- d) Share information on whereabouts requirements on *Athletes* where there is overlapping Testing Authority via ADAMS;
- e) Share information on *Athlete Biological Passport* programs where there is overlapping Testing Authority via ADAMS; and
- f) Share Anti-Doping Intelligence on *Athletes* where there is overlapping Testing Authority.

4.10.18.2 *Anti-Doping Organizations* may contract other *Anti-Doping Organizations* or *Delegated Third Parties* to act as a Doping Control Coordinator or Sample Collection Authority 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* is to be exercised by the Sample Collection Authority when collecting *Samples* on its behalf.

*[Comment to 4.10.18.2: For example, the International Standard for Testing confers as to the circumstances in which delayed reporting to the Doping Control Station may be permitted (Article 5.4.4), as to who may be present during the Sample Collection Session (Article 6.3.3), 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), and as to the guidelines to be followed by the DCQ 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 F.4.5) and share Raw Information/ Anti-Doping Intelligence obtained (Article 12).]*

4.10.18.3 *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 Raw Information and Anti-Doping Intelligence that can be useful in informing Test distribution planning, in accordance with Article 12.

5.0 Notification of *Athletes*

5.1 Objective

The objective is to ensure that an *Athlete* who has been selected for *Testing* is properly notified with no advance notice of *Sample* collection as outlined in Articles 5.3.1 and 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.

5.2 General

Notification of *Athletes* starts when the 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 to Comply occurs. The main activities are:

- a) Appointment of Sample Collection Personnel sufficient to ensure No Advance Notice Testing and continuous observation of *Athletes* notified of their selection to provide a *Sample*;
- b) Locating the *Athlete* and confirming their identity;
- c) Informing the *Athlete* that they have been selected to provide a *Sample* and of their rights and responsibilities;
- d) 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 No Advance Notice Testing shall be the method for *Sample* collection save in exceptional and justifiable circumstances. The *Athlete* shall be the first *Person* notified that they have been selected for *Sample* collection, except where prior contact with a third party is required as specified in Article 5.3.7. 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 strictly need to know in order for such *Testing* to be conducted. Any notification to a third party shall be conducted in a secure and confidential manner so that there is no risk that the *Athlete* will receive any advance notice of their selection for *Sample* collection. Normally for *In-Competition Testing*, such notification shall normally occur at the end of the *Competition* in which the *Athlete* is competing except if *Testing* is conducted between 11:59 p.m. the day before the *Athlete*'s *Competition* and prior to the start of the *Athlete*'s *Competition* in accordance with the definition of *In-Competition*.

*[Comment to 5.3.1: No Advance Notice Testing of *Athletes* is one of the fundamental principles of testing given the impact that the surprise element and deterrence effect has. The use of a phone to contact an *Athlete* outside of its permitted use (in the last five (5) minutes of the *Athlete*'s 60-minute time slot for those in a Registered Testing Pool) shall only be used in exceptional circumstances and shall be recorded in ADAMS as advance notice.*

A DCO shall not call an Athlete outside of the 60-minute time slot unless they have been instructed to do so by the Testing Authority and where exceptional circumstances exist. However, before attempting to call the Athlete the DCO must first have visited all of the locations that the Athlete has filed as part of their Whereabouts Filing that are outside of the 60 minute time slot and attempted to locate the Athlete e.g. training location(s), overnight address and any other whereabouts locations the Athlete may have provided or to which the Anti-Doping Organization may have Anti-Doping Intelligence on as to where the Athlete could be located either prior to the test attempt or which was obtained by the DCO during the attempt to Test and which are outside the Athletes whereabouts locations (where applicable). Exceptional circumstances shall be limited to those listed below.

- i. A location where the entry to the building where the Athlete may be located (and is not a location provided in their Whereabouts Filing) has restricted access and the DCO has no other way of gaining access other than by contacting the Athlete e.g., no intercom or front desk reception or a location where the details of where the Athlete may be located (and is not a location provided in their Whereabouts Filing) is limited i.e. limited street names or house numbers are used.
- ii. APMU Target Test request that is time sensitive.
- iii. Follow up Test to evaluate whether the Athlete is a carrier of the EPO variant gene.
- iv. Validation of a national or world record based on the rules of the National or International Federation and where there is no Sample collection taking place at the Competition where the record was achieved.

If the DCO makes a call outside of the 60-minute time slot due to exceptional circumstances, and the Athlete answers the DCO's call, the Athlete is required to comply with the DCO's reasonable request to provide a Sample. The DCO is responsible for meeting the Athlete at their current or an alternative and agreed location within a reasonable time period to collect the Athlete's Sample. On arrival to the agreed location where Sample collection will occur, the DCO will notify the Athlete of their selection for Testing, collect the Sample and complete the applicable documentation. A failure to comply with the DCO's request to provide a Sample and/or a failure to meet the DCO at the agreed location may be pursued (if the circumstances so warrant) as a potential anti-doping rule violation.

In addition, every effort should be made to ensure Event Venue or training venue staff are not aware that Testing may take place in advance. 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 authority so that it can have a representative present at such Testing.]

5.3.2 To conduct or assist with the Sample Collection Sessions, the Sample Collection Authority shall appoint and authorize Sample Collection Personnel who have been trained for their assigned responsibilities and who meet all of the applicable requirements of Annex G – Sample Collection Personnel Requirements.

5.3.3 Sample Collection Personnel shall have official documentation, provided by the Sample Collection Authority, evidencing their authority to collect a Sample from the Athlete, such as an authorization letter from the Testing Authority. Sample Collection Personnel shall carry an identification card from the Sample Collection Authority and complementary government issued identity document that includes their name and photograph (i.e., driver's license, health card, passport or similar valid identification) and the expiry date.

5.3.4 The Testing Authority or otherwise the Sample Collection Authority shall require the Athlete selected to provide a Sample to provide a government issued identity document that contains a photograph of the Athlete to validate the identity of an Athlete. This may include a passport, national identity card, drivers' license, health

care card or any other document issued by a government body that contains at a minimum the name of the issuing body, the name of the *Athlete*, their date of birth, expiry date and their photograph. The *Athlete* may present an electronic version of their identity document contained on their personal device such as a mobile phone. This ensures the selected *Athlete* is the *Athlete* who is notified.

- a) If the *Athlete* is not readily identifiable during an *Out-of-Competition Test* based on the above requirements, then if the *Athlete* is in a *Registered Testing Pool* or *Testing Pool*, the DCO shall check the *Athlete*'s photograph within their *ADAMS Athlete* profile. Failing this a third party who personally knows the *Athlete* may be asked to identify the *Athlete*. If a third party is available to identify the *Athlete* they too will be required to provide a government issued photo identity document to validate their identity, and the details of the third party's relationship to the *Athlete* shall be documented.
- b) For *In-Competition Testing*, if the *Athlete* is not able to present a government issued photo identity document, then the DCO may consider i) an official event photo accreditation badge for international sports events that the International Federation or Major *Event Organizer* has issued, or ii) if the *Athlete* is in a *Registered Testing Pool* or *Testing Pool*, their *Athlete* profile photo within *ADAMS*. If the official event accreditation pass or the *Athlete*'s profile photo within *ADAMS* are not available then iii) a third party who can accurately identify the *Athlete* shall be sought to support the *Athlete*'s identification which shall be documented as outlined in Article 5.3.4 a).

5.3.5 The 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 Sample Collection Authority, DCO or Chaperone, as applicable, shall document *Athlete* notification attempt(s) and outcome(s).

5.3.7 The Sample Collection Authority, DCO or Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification of the *Athlete*; in the following situations:

- a) Where required by an *Athlete*'s impairment (as provided for in Annex A - Modifications for *Athletes* with Impairments);
- b) Where the *Athlete* is a *Minor* (as provided for in Annex B - Modifications for *Athletes* who are *Minors*);
- c) Where an interpreter is required and available for the notification;
- d) Where required to assist Sample Collection Personnel to identify the *Athlete(s)* to be tested and to notify such *Athlete(s)* that they are required to provide a *Sample*.

[Comment to 5.3.7: It is permissible to notify a third party that Testing of Minors or Athletes with impairments will be conducted. 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. Should a third

party be required to be notified prior to the Athlete's notification, the third party should be accompanied by the DCO or Chaperone to notify the Athlete.]

5.4 Requirements for Notification of *Athletes*

5.4.1 When initial contact is made, the Sample Collection Authority, DCO or Chaperone, as applicable, shall ensure that the *Athlete* and/or a third party (if required in accordance with Article 5.3.7) 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 them, 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 in accordance with Article 5.4.4; and
 - iv. Request modifications as provided for in Annex A - Modifications for *Athletes* with Impairments.
- e) Of the *Athlete's* responsibilities, including the requirement to:
 - i. Remain within continuous observation of the DCO/Chaperone at all times from the point initial contact is made by the DCO/Chaperone until the completion of the *Sample* collection procedure;
 - ii. Produce identification in accordance with Article 5.3.4;
 - iii. Comply with *Sample* collection procedures (and the *Athlete* should be advised of the possible *Consequences* of a Failure to Comply); and
 - iv. Report immediately for *Sample* collection, unless there are valid reasons for a delay, as determined in accordance with 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*, they do so at their own risk;
- h) Not to hydrate excessively, since this may delay the production of a suitable *Sample*; and
- i) That any urine *Sample* provided by the *Athlete* to the Sample Collection Personnel shall be the first urine passed by the *Athlete* subsequent to notification.

- 5.4.2** When contact is made, the DCO/Chaperone shall:
- a) From the time of such contact until the *Athlete* leaves the Doping Control Station at the end of their Sample Collection Session, keep the *Athlete* under observation at all times;
 - b) Identify themselves to the *Athlete* using the documentation referred to in Article 5.3.3; and
 - c) Confirm the *Athlete's* identity as per the criteria established in 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 Testing Authority. In cases where the *Athlete's* identity cannot be confirmed as per the criteria established in Article 5.3.4, the DCO shall continue with the Sample collection and document this on the Doping Control form. The Testing Authority shall decide whether it is appropriate to follow up in accordance with Annex A - Review of a Possible Failure to Comply of the *International Standard for Results Management*.
- 5.4.3** The DCO/Chaperone shall have the *Athlete* sign an appropriate form to acknowledge and accept the notification. If the *Athlete* refuses to sign that they have been notified, or evades the notification, the DCO/Chaperone shall, if possible, inform the *Athlete* of the *Consequences* of a Failure 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 Testing Authority. The Testing Authority shall follow the steps prescribed in Annex A - Review of a Possible Failure to Comply of the *International Standard for Results Management*.
- 5.4.4** The DCO/Chaperone may at their discretion consider any reasonable third party request or any request by the *Athlete* for permission to delay reporting to the Doping Control Station following acknowledgment and acceptance of notification, and/or to leave the Doping Control Station temporarily after arrival. The DCO/Chaperone may grant such permission if the *Athlete* can be continuously chaperoned and kept under continuous observation during the delay. Delayed reporting to or temporary departure from the Doping Control Station may be permitted for the following activities:
- a) For *In-Competition Testing*:
 - i. Participation in a 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 in accordance with requirements of Article 5.3.4; or
 - viii. Any other reasonable circumstances, 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 in accordance with requirements of Article 5.3.4; or
 - v. Any other reasonable circumstances, as determined by the DCO, taking into account any instructions of the Testing Authority.
- 5.4.5** A DCO/Chaperone shall reject a request for delay from an *Athlete* if it will not be possible for the *Athlete* to be continuously observed during such delay.
- 5.4.6** The DCO/Chaperone or other authorized 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 Testing Authority.
- 5.4.7** If the *Athlete* delays reporting to the Doping Control Station other than in accordance with Article 5.4.4 and/or any failure of the *Athlete* to remain under constant observation during chaperoning but the *Athlete* arrives at the Doping Control Station prior to the DCO's departure from the sample collection location, the DCO shall report a possible Failure to Comply. If at all possible, the DCO shall proceed with collecting a *Sample* from the *Athlete*. The Testing Authority shall investigate a possible Failure to Comply in accordance with Annex A - Review of a Possible Failure to Comply in the *International Standard for Results Management*.
- 5.4.8** If Sample Collection Personnel observe any other matter with potential to compromise the collection of the *Sample*, the circumstances shall be reported to and documented by the DCO. If deemed appropriate by the DCO, the DCO shall consider if it is appropriate to collect an additional *Sample* from the *Athlete*. The Testing Authority shall investigate a possible Failure to Comply in accordance with Annex A - Review of a Possible Failure to Comply in the *International Standard for Results Management*.

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, including with sufficient resources e.g., personnel and equipment.

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 Article 6.3.2; and
- d) Ensuring that the Sample Collection Equipment meets the minimum criteria prescribed in Article 6.3.4.

6.3 Requirements for Preparing for Sample Collection Session

6.3.1 The Testing Authority, Doping Control Coordinator or 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 impairments (as provided in Annex A - Modifications for *Athletes* with Impairments) as well as the needs of *Athletes* who are *Minors* (as provided in Annex B - Modifications for *Athletes* who are *Minors*) or transgender or gender diverse *Athletes* (as provided in Annex L – Modifications for Transgender or Gender Diverse *Athletes*).

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. Should the DCO determine the Doping Control Station is unsuitable, they shall seek an alternative location which fulfils the minimum criteria above.

6.3.3 The Testing Authority or 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) The entitlement of an *Athlete* with an impairment to be accompanied by a representative as provided for in Annex A - Modifications for *Athletes* with Impairments;
- c) A *Minor Athlete's* entitlement (as provided for in Annex B - 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*;

- d) A WADA-appointed observer under the *WADA Independent Observer Program* or WADA auditor (where applicable); and/or
- e) An authorized *Person* who is involved in the training of Sample Collection Personnel or auditing the Sample Collection Authority.

[Comment to 6.3.3 (d) and (e): The WADA observer/auditor and/or authorized Person shall not directly observe the passing of a urine Sample]

6.3.4 The Sample Collection Authority shall only use Sample Collection Equipment systems for urine, venous blood and dried blood spot *Samples* which, at a minimum:

- a) Have a unique numbering system, incorporated into all A and B bottles, containers, tubes or other items used to seal the *Sample* and have a barcode or similar data code which meets the requirements of *ADAMS* on the applicable Sample Collection Equipment;
- b) Have a Tamper-Evident sealing system;
- c) Ensure the identity of the *Athlete* is not evident from the equipment itself;
- d) Ensure that all equipment is clean and sealed prior to use by the *Athlete*;
- e) Are constructed of a material and sealing system that is able to withstand the handling conditions and environment in which the equipment will be used or subjected to, including but not limited to transportation, Laboratory analysis and long term frozen storage up to the period of the statute of limitations;
- f) Are constructed of a material and sealing system that ;
 - i. Maintains the integrity (chemical and physical properties) of the *Sample* for the Analytical Testing;
 - ii. Can withstand temperatures of -80°C for urine and blood and -20°C for dried blood spots. Tests conducted to determine integrity under freezing conditions shall use the matrix or material that will be stored in the *Sample* bottles, containers or tubes i.e., urine, blood, or capillary blood applied on a dried blood spot absorbent *Sample* support (e.g., dried blood spot cellulose card or other equipment made of another material);
 - iii. Are constructed of a material and sealing system that can withstand a minimum of three (3) freeze/thaw cycles;
 - iv. Will not degrade or lose its functionality from when the *Sample* is sealed within the equipment for at a minimum the statute of limitations period. Any expiry date that may be placed on external packaging or on the equipment in which a *Sample* shall be stored shall take this time period into consideration given *Samples* may be subject to long term storage. The exception being the vacuum functionality of blood tubes which assists in drawing blood into the tube at the time of collection.

- g) The A and B bottles, containers and tubes shall be transparent so the *Sample* is visible;
- h) Have a sealing system which allows verification by the *Athlete* and the DCO that the *Sample* is correctly sealed in the A and B bottles or containers;
- i) Have a built-in security identification feature(s) which allows verification of the authenticity of the equipment;
- j) Are compliant with the standards published by the International Air Transport Association (IATA) for the transport of exempt human specimens which includes urine and/or blood *Samples* in order to prevent leakage during transportation by air or are compliant with the local and international regulations for the transport of dried blood spot *Samples*, if applicable;
- k) Comply with local regulatory requirements for medical devices (for blood and dried blood spot *Samples*) where necessary, as well as any other applicable law or regulation;
- l) Have been manufactured under the internationally recognized ISO 9001 certified standard which includes quality control management systems;
- m) Can be resealed after initial opening by a Laboratory using a new unique Tamper- Evident sealing system with a unique numbering system to maintain the integrity of the *Sample* and Chain of Custody in accordance with the requirements of the *International Standard for Laboratories* for long term storage of the *Sample* and Further Analysis;
- n) Have undergone testing by a testing institution that is independent of the manufacturer and is ISO 17025 accredited, to validate at a minimum that the equipment meets the criteria set out in subsections b), f), g), h), i), j) and m) above;
- o) Any modification to the material or sealing system of the equipment shall require re-testing to ensure it continues to meet the stated requirements as per n) above;

For Urine *Sample* Collection:

- p) Have the capacity to contain a minimum of 85 mL volume of urine in each A and B bottle or container;
- q) Have a visual marking on the A and B bottles or containers and the collection vessel, indicating:
 - i. the minimum volume of urine required in each A and B bottle or container as outlined in Annex C - Collection of Urine *Samples*;
 - ii. the maximum volume levels that allow for expansion when frozen without compromising the bottle, container or the sealing system; and
 - iii. the level of Suitable Volume of Urine for Analysis on the collection vessel.

- r) Include a partial Sample Tamper Evident sealing system with a unique numbering system to temporarily seal a Sample with an insufficient volume in accordance with Annex E - Urine Samples – Insufficient Volume;

For Venous Blood Sample Collection:

- s) Have the ability to collect, store and transport blood in separate A and B tubes and containers;
- t) For the analysis of *Prohibited Substances* or *Prohibited Methods* in whole blood including *Athlete Biological Passport*, the A and B tubes must have the capacity to contain a minimum of 3 mL of blood and shall contain EDTA as an anti-coagulant;
- u) For the analysis of *Prohibited Substances* or *Prohibited Methods* in serum including *Athlete Biological Passport*, the A and B tubes must have the capacity to contain a minimum of 5 mL of blood and shall contain an inert polymeric serum separator gel and clotting activation factor; and

[Comment to 6.3.4 (t) and (u): If specific tubes have been indicated in the applicable WADA International Standard, Technical Document or Guidelines, then the use of alternative tubes which meet similar criteria shall be validated with the involvement of the relevant Laboratory(ies) and approved by WADA prior to use for Sample collection.]

- v) For the transport of v e n o u s blood Samples, ensure the storage and transport device and temperature data logger meet the requirements listed in Annex I - Collection, Storage and Transport of Blood *Athlete Biological Passport Samples*.

For Dried Blood Spot Sample Collection

- w) A dried blood spot absorbent Sample support (e.g., cellulose card and/or synthetic polymer) shall also be labelled if it is necessary to remove it from its container at the Laboratory to take an aliquot; and
- x) Allow the collection, inspection, storage, complete drying and secure transportation of dried blood spots on absorbent Sample support that can be sealed as distinct “A” and “B” Samples (Tamper Evident kit consisting of “A” and “B” containers/sub-containers and/or storage sleeves/packages/receptacles).

[Comment to 6.3.4 (x): Due to logistical reasons at the Laboratory, it is recommended to seal the “A” and “B” Samples in separate containers. Transporting and/or storing “A” and “B” Samples in the same container is however acceptable, provided that they are sealed as distinct “A” and “B” Samples.]

[Comment to 6.3.4: It is strongly recommended that prior to the equipment being made commercially available to stakeholders, such equipment be distributed to the anti-doping community, which may include Athletes, Testing Authorities, Sample Collection Authorities, Sample Collection Personnel, and Laboratories to seek feedback and ensure the equipment is fit for purpose. It is also recommended for the ADOs to consult the Laboratories regarding their capacity against supportive material selection.]

7.0 Conducting the Sample Collection Session

7.1 Objective

To conduct the Sample Collection Session in a manner that ensures the integrity, identity and security 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 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/Chaperone shall ensure that the *Athlete* has been informed of their rights and responsibilities as specified in Article 5.4.1.

7.3.3 The DCO/Chaperone shall advise the *Athlete* not to hydrate excessively, having in mind the requirement to provide a *Sample* with a Suitable Specific Gravity for Analysis.

7.3.4 The *Anti-Doping Organization* shall establish criteria regarding what items may be prohibited within the Doping Control Station. At a minimum these criteria shall prohibit the provision of alcohol or its consumption within the Doping Control Station.

7.3.5 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 Articles 5.4.4, 5.4.5 and 5.4.6, until the *Athlete* is able to provide a *Sample*.

7.3.6 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; the time of return (or return upon completion of an agreed activity);
- b) That the *Athlete* must remain under continuous observation throughout;
- c) That the *Athlete* shall not pass urine until they arrive back at the Doping Control Station; and
- d) The DCO shall document the 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 C - Collection of Urine *Samples*;
- b) Annex D - Collection of Venous Blood *Samples*;
- c) Annex I - Collection, Storage and Transport of Blood *Athlete Biological Passport Samples*;
- d) Annex J - Collection, Storage and Transport of Dried Blood Spot *Samples*; and
- e) Annex K - Collection of Urine *Samples* in a Virtual Environment during a Pandemic.

7.4.2 Any behavior by the *Athlete* and/or *Persons* associated with the *Athlete* or anomalies with potential to compromise the *Sample* collection shall be recorded in detail by the DCO. If appropriate, the Testing Authority shall apply Annex A - Review of a Possible Failure to Comply in the *International Standard for Results Management*.

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 Testing Authority shall apply Annex A - Review of a Possible Failure to Comply in accordance with *International Standard for Results Management*.

7.4.4 The DCO shall provide the *Athlete* with the opportunity to document any concerns they may have about how the Sample Collection Session was conducted.

7.4.5 The following information shall be recorded as a minimum in relation to the Sample Collection Session:

- a) Date, time of notification, name and signature of notifying DCO/Chaperone and the country where the Test is taking place;
- b) Arrival time of the *Athlete* at the Doping Control Station and any temporary departures and returns;
- c) Date and time of sealing of each *Sample* collected and date and time of completion of entire *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 sport gender of the *Athlete* i.e. the gender of the *Event* the *Athlete* competes in;
- g) Means by which the *Athlete*'s identity is validated in accordance with the requirements of Article 5.3.4;

- h) The *Athlete's* home address, email address and telephone number;
- i) The *Athlete's* sport and discipline (in accordance with the TDSSA);
- j) The name of the *Athlete's* coach and doctor (if applicable);
- k) The *Sample* code number and reference to the equipment manufacturer, and where the *Sample* collected is dried blood spot, detailed information on the model of the dried blood spot Sample Collection Equipment (e.g., catalogue number) if the equipment manufacturer commercializes several dried blood spot *Sample* collection kits;
- l) The type of the *Sample* (urine, venous blood, dried blood spot etc.);
- m) The type of *Testing* (*In-Competition* or *Out-of-Competition*);
- n) The name and signature of the witnessing DCO/Chaperone;
- o) The name and signature of the BCO (where applicable);
- p) Partial *Sample* information, as per Annex E.4.4;
- q) Required Laboratory information on the *Sample* (i.e., for a urine *Sample*, its volume and specific gravity measurement), as per Article 8.3.3;
- r) Medications and supplements taken within the previous seven (7) days and (where the *Sample* collected is a venous blood *Sample*) blood transfusions within the previous three (3) months, as declared by the *Athlete*;
- s) For a blood *Athlete Biological Passport Sample*, the DCO/BCO shall record the information as outlined in Annex I - Collection, Storage and Transport of Blood *Athlete Biological Passport Samples*;
- t) Any irregularities in procedures, for example, if advance notice was provided;
- u) *Athlete* comments or concerns regarding the conduct of the Sample Collection Session, as declared by the *Athlete*;
- v) *Athlete* acknowledgment of the Processing of *Sample* collection data and description of such Processing in accordance with the *International Standard for Data Protection*;
- w) *Athlete* consent or otherwise for the use of the *Sample(s)* for research purposes;
- x) The name and signature of the *Athlete's* representative (if applicable), as per Article 7.4.6;
- y) The name and signature of the *Athlete*;
- z) The name and signature of the DCO;
- aa) The name of the Testing Authority;
- bb) The name of the Sample Collection Authority;

cc) The name of the Results Management Authority; and

dd) The name of the Doping Control Coordinator (if applicable).

[Comment to 7.4.5: All of the aforementioned information does not need to be consolidated in a single Doping Control form but rather may be collected during the Sample Collection Session and/or on other official documentation such as a separate notification form and/or supplementary report.]

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 expressed by the *Athlete*. The *Athlete's* representative, if present and who witnessed the proceedings, should also sign the documentation.

7.4.7 The *Athlete* shall be offered a copy of the records of the Sample Collection Session that have been signed by the *Athlete* whether electronically or otherwise.

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 transport from the Doping Control Station.

8.2 General

Post-Test administration begins when the *Athlete* has left the Doping Control Station after providing their *Sample(s)* and ends with preparation of all of the collected *Samples* and *Sample* collection documentation for transport.

8.3 Requirements for Security/Post-Test Administration

8.3.1 The Sample Collection Authority shall define criteria ensuring that each *Sample* 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 Sample Collection Authority shall develop a system for recording the Chain of Custody of the *Samples* and *Sample* collection documentation to ensure that the documentation for each *Sample* is completed and securely handled. This shall include confirming that both the *Samples* and *Sample* collection documentation have arrived at their intended destinations. The Laboratory shall report any irregularities to the Testing Authority on the condition of *Samples* upon arrival in line with the International Standard for Laboratories.

8.3.3 The 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 Laboratory that will be conducting the analysis. In addition, the Anti-Doping Organization shall provide the Laboratory with information as required under Article 7.4.5 c), f), i), k), l), m), q), r), w), aa), bb) and cc) for result reporting and statistical

purposes and include whether *Sample* retention in accordance with Article 4.9.1 is required.

[Comment to 8.3: Information as to how a Sample is stored prior to departure from the Doping Control Station may be recorded on, for example, a DCO report. The type of analysis for the Laboratory may be recorded on a Chain of Custody form. ADOs can refer to the WADA website for a DCO report and/or Chain of Custody form template.]

9.0 Transport of *Samples* and Documentation

9.1 Objective

- a) To ensure that *Samples* and related documentation arrive at the Laboratory 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 Sample Collection Authority to the 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 Laboratory that will be conducting the analysis and arranging for the secure transport of the Sample Collection Session documentation to the Testing Authority.

9.3 Requirements for Transport and Storage of *Samples* and Documentation

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

9.3.2 *Samples* shall always be transported to the Laboratory that will be analyzing the *Samples* using the Sample Collection Authority's authorized transport method, as soon as possible 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.

[Comment to 9.3.2: Anti-Doping Organizations should discuss transportation requirements for particular missions (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 in the particular circumstances of such mission (e.g., refrigeration or freezing of the Samples). Anti-Doping Organizations shall not store or stockpile Athlete's urine Samples (beyond minor shipping delays) prior to sending the Samples to the Laboratory.]

9.3.3 The documentation (either in paper or electronic form) relating to the *Samples* shall arrive at the Laboratory either in advance or together with the *Samples*. Documentation identifying the *Athlete* shall not be included with the *Samples* or documentation sent to the Laboratory that will be analyzing the *Samples*.

- 9.3.4 The DCO shall send all relevant Sample Collection Session documentation to the Sample Collection Authority, using the Sample Collection Authority's authorized transport method (which may include secure electronic transmission), as soon as practicable after the completion of the Sample Collection Session.
- 9.3.5 If the Samples with accompanying documentation or the Sample Collection Session documentation are not received at their respective intended destinations, or if a Sample's integrity, identity or security may have been compromised during transport, the Sample Collection Authority shall check the Chain of Custody, and the Testing Authority shall consider whether the 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 Testing Authority and/or the Sample Collection Authority for the period and other requirements specified in the *International Standard for Data Protection*.

[Comment to 9.3: While the requirements for transport and storage of Samples and documentation herein apply equally to all urine, venous blood, and dried blood spot Samples, additional requirements for venous blood can be found in Annex D - Collection of Venous Blood Samples, additional requirements for the transportation of Blood Samples for the Athlete Biological Passport can be found in Annex I - Collection, Storage and Transport of Blood Athlete Biological Passport Samples, and additional requirements for the transportation of dried blood spot Samples can be found in Annex J - Collection, Storage and Transport of Dried Blood Spot Samples.]

10.0 Ownership of Samples

- 10.1 Samples collected from an Athlete are owned by the Testing Authority for the Sample Collection Session in question.
- 10.2 The Testing Authority may transfer ownership of the Samples to the Results Management Authority or to another Anti-Doping Organization upon request.
- 10.3 WADA may assume Testing Authority in certain circumstances in accordance with the Code and the *International Standard for Laboratories*.

11.0 Athlete Biological Passport

- 11.1 Anti-Doping Organizations shall implement and administer an Athlete Biological Passport program in accordance with principles contained within the *International Standard for Testing*, the Technical Document for Sport Specific Analysis, the *International Standard for Results Management* and the applicable Technical Documents specific to the Athlete Biological Passport. Further guidance on the implementation of the Athlete Biological Passport program can be found in the Athlete Biological Passport Operating Guidelines.
- 11.2 Anti-Doping Organizations shall employ the service of a WADA-approved APMU to manage Passports for which the Anti-Doping Organization is the Passport Custodian.
- 11.3 The Anti-Doping Organization shall monitor and ensure that any request received from an APMU in relation to a Sample collected under the Athlete Biological Passport program for either an APMU Further Analysis (e.g., to conduct analysis such as IRMS, ERAs or hGH) or an APMU Target Test are implemented within the time frames provided by the APMU, as appropriate, and where the Anti-Doping Organization was unable to carry out such requests the Anti-Doping Organization shall document their reasoning in ADAMS.

- 11.4** Each *Athlete* shall only have one ADAMS ID.
- 11.5** Procedures for the collection, storage and transport of blood *Athlete Biological Passport Samples* are outlined in Annex I. The timeline for the entry of *Doping Control* forms for blood *Athlete Biological Passport Samples* into ADAMS is outlined in Article 4.10.18.1 c).
- 11.6** In ADAMS, Passport custody is attributed to the Testing Authority that first tests the *Athlete* regardless of the *Sample* type. When the *Athlete* is first tested by a *Major Event Organization*, Passport custody is attributed to the International Federation. When a *National Anti-Doping Organization* first tests an *Athlete* with a different sport nationality, Passport custody is attributed to the International Federation. Passport custody can also later be reassigned to the *National Anti-Doping Organization* of the sport nationality of the *Athlete* if appropriate.
- 11.7** *Anti-Doping Organizations* shall manage Passport custody in ADAMS and ensure efficient Passport sharing with other *Anti-Doping Organizations* that share *Testing* jurisdiction over the *Athlete*.
- 11.8** The Passport Custodian should make requests in writing regarding any transfers of *Passport custody* to the recipient *Anti-Doping Organization*. If no agreement can be found on the *Passport custody*, WADA shall determine which *Anti-Doping Organization* shall be the *Athlete's Passport Custodian*. WADA shall not rule on this without consulting the *Anti-Doping Organizations* involved.

[Comment to Article 11.8: Passport custody can be transferred in ADAMS by the Passport Custodian to another ADO with Testing jurisdiction over the Athlete. ADOs should have a procedure in place to monitor their pool of Passports at regular intervals (ex. quarterly) using the reporting functionalities in ADAMS in order to identify Passports potentially more suitable for management by another ADO. Reasons for transferring Passport custody may include a change in Athlete level, more frequent Testing by another ADO, or be based on a strategic agreement between ADOs with Testing jurisdiction over the Athlete.]

- 11.9** Where the Testing Authority is not the Passport Custodian, the Testing Authority that initiated and directed the *Sample* collection maintains the responsibility for additional Analytical Testing or Further Analysis of the *Sample* unless agreed otherwise. This includes the performance of further Confirmation Procedure(s) upon requests generated automatically by the Adaptive Model of the *Athlete Biological Passport* in ADAMS (e.g., GC/C/IRMS triggered by elevated T/E) or a APMU Further Analysis request (e.g., GC/C/IRMS requested due to abnormal secondary Markers of the urinary “longitudinal steroid profile” or erythropoietin receptor agonists (ERAs) analysis tests due to suspicious Hematological Marker values).
- 11.10** Where the Testing Authority that initiated and directed the *Sample* collection results in a request from an APMU for an APMU Target Test, then the Passport Custodian maintains the responsibility for implementing such APMU Target Test as well as any APMU recommendations to collect any additional *Samples* in accordance with Article 11.3 unless agreed otherwise.
- 11.11** In addition to sharing Passport information with *Anti-Doping Organizations* directly via ADAMS, the Passport Custodian is also responsible for sharing of relevant Passport-related information with *Major Event Organizers* who are planning *Testing* around an upcoming *Competition*. Prior to the *Event*, the Passport Custodian shall provide relevant testing requests to the *Major Event Organizer* including Passport status and/or recent

APMU requests in order assist *Major Event Organizers* to prioritize their test distribution. During the *Event*, the Passport Custodian shall ensure that rapid communication of APMU requests can be made during the *Competition* in response to *Major Event Organizer Testing*, which will allow the *Major Event Organizer* to conduct APMU Target Test or APMU Further Analysis that may be required as a result of the *Major Event Organizer's Testing*.

12.0 Use of Anti-Doping Intelligence to Support *Testing* Programs

- 12.1 *Anti-Doping Organizations* shall ensure they are able to collect, receive, store, and assess Raw Information and/or Anti-Doping Intelligence from all available sources, as part of the review of their Risk Assessment and to inform the development of an effective, intelligent and proportionate Test Distribution Plan, to plan *Target Testing*, to help deter and detect doping and to conduct investigations as required by *Code* Article 5.7. The objective of Article 12 is to establish standards for the efficient and effective gathering, assessment and processing of such Anti-Doping Intelligence to support *Testing* programs.
- 12.2 *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, to support their *Testing* program including, but not limited to, *Athletes* and *Athlete Support Personnel* (including *Substantial Assistance* provided pursuant to *Code* Article 10.7.1) and members of the public (e.g., by means of a confidential telephone hotline), Sample Collection Personnel (whether via DCO reports, supplementary reports, Unsuccessful Attempt Reports, or otherwise), *Doping Control* forms, *Athlete Biological Passport* program, Whereabouts Filings, Laboratories, pharmaceutical companies, other *Anti-Doping Organizations*, *WADA*, *National Federations*, law enforcement, other regulatory and disciplinary bodies, and the media (in all its forms).
- 12.3 *Anti-Doping Organizations* shall ensure that they are able to assess the Raw Information and/or Anti-Doping Intelligence upon collection or receipt from *Testing* missions and other sources for relevance, reliability and accuracy, taking into account the nature of the source, the circumstances in which the Anti-Doping Intelligence has been captured or received and whether there is any supporting or corroborating Raw Information or evidence.
- 12.4 All Anti-Doping Intelligence collected or received by an *Anti-Doping Organization* should be collated and analyzed to establish patterns, trends and relationships that may assist the *Anti-Doping Organization* in developing effective testing strategies and/or in determining (where the Anti-Doping 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 the *International Standard for Intelligence and Investigations* and the *International Standard for Results Management*.
- 12.5 Anti-Doping Intelligence shall be used to assist for the following purposes (without limitation): developing, reviewing and revising the Test Distribution Plan and/or determining when to conduct *Target Testing*, in each case in accordance with Article 4 and/or to create targeted Anti-Doping Intelligence files to be referred for investigation in accordance with the *International Standard for Intelligence and Investigations*.
- 12.6 Following an investigation each *Anti-Doping Organization* shall consider whether any of the Raw Information and/or Anti-Doping Intelligence, or evidence obtained during the investigation should be used in reviewing its Risk Assessment, to inform the further development of its Test Distribution Plan and/or to plan *Target Testing*, and/or should be

shared with any other *Anti-Doping Organization* or body in accordance with the *International Standard for Intelligence and Investigations*.

[Comment to 12: While Testing will always remain an integral part of the anti-doping effort, Testing alone is not 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 Raw Information. This means that Anti-Doping Organizations need to develop a capable Anti-Doping Intelligence gathering and investigation functions. WADA has devised an International Standard for Intelligence and Investigations supported by the Intelligence and Investigations Guidelines to assist Anti-Doping Organizations to better understand the types of 'non-analytical' Anti-Doping Intelligence that may be available and to provide support and guidance to Signatories in their efforts to comply with the Code and the International Standards.]

ANNEX A - MODIFICATIONS FOR *ATHLETES* WITH IMPAIRMENTS

A.1 Objective

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

A.2 Scope

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

A.3 Responsibility

A.3.1 The Testing Authority or Sample Collection Authority (as applicable) 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 an impairment, including details of such impairment that may affect the procedure to be followed in conducting a Sample Collection Session.

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

A.4 Requirements

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

*[Comment to A.4.1: The Testing Authority in the case of an *Athlete* with an intellectual impairment, shall decide whether to obtain consent to Testing from their representative and inform the Sample Collection Authority and Sample Collection Personnel.]*

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

A.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 integrity, identity, and security of the *Sample*. The DCO shall consult the *Athlete* in order to determine what modifications may be necessary for the *Athlete's* impairment. All such modifications shall be documented.

A.4.4 An *Athlete* with an intellectual, physical or sensorial impairment may be assisted by the *Athlete's* representative or Sample Collection Personnel during the Sample Collection Session where authorized by the *Athlete* and agreed to by the DCO.

A.4.5 The DCO may decide that alternative Sample Collection Equipment or an alternative Doping Control Station will be used when required to enable the *Athlete* to provide the *Sample*, as long as the *Sample's* integrity, identity and security will not be affected.

- A.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*.
- A.4.7** Should an *Athlete* require any additional equipment in order to be able to provide a *Sample*, including but not limited to catheters and drainage systems, it is the sole responsibility of the *Athlete* to have the necessary equipment available for this purpose and understand how to use it.
- A.4.8** For *Athletes* with vision or intellectual impairments, the DCO and/or *Athlete* may determine if they shall have a representative present during the Sample Collection Session. During the Sample Collection Session, a representative of the *Athlete* and/or a representative of the DCO may observe the witnessing DCO/Chaperone while the *Athlete* is passing the urine *Sample*. This representative or these representatives may not directly observe the passing of the urine *Sample*, unless requested to do so by the *Athlete*.
- A.4.9** The DCO shall record modifications made to the standard *Sample* collection procedures for *Athletes* with impairments, including any applicable modifications specified in the above actions.

ANNEX B - MODIFICATIONS FOR *ATHLETES WHO ARE MINORS*

B.1. Objective

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

B.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.

B.3. Responsibility

B.3.1 The Testing Authority has responsibility for ensuring, when possible, that the Sample Collection Authority and/or the DCO has any information necessary to conduct a Sample Collection Session with an *Athlete* who is a *Minor*.

B.3.2 Where *Sample* collection involves an *Athlete* who is a *Minor*, the Testing Authority and/or the Sample Collection Authority shall assign, at a minimum, two Sample Collection Personnel to the Sample Collection Session. Sample Collection Personnel shall be informed, in advance, that *Sample* collection involves (or may involve) *Athletes* who are *Minors*.

*[Comment to B.3.2: For clarity, the two Sample Collection Personnel may be two DCOs or a DCO and a BCO or a DCO and a Chaperone. The two Sample Collection Personnel shall always be present in the Doping Control Station for Sample Collection Sessions involving an *Athlete* who is a *Minor*.]*

B.3.3 The DCO has responsibility for *Sample* collection.

B.4. Requirements

B.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*.

B.4.2 The Sample Collection Authority and the DCO shall have the authority to make modifications as the situation requires as long as such modifications will not compromise the integrity, identity and security of the *Sample*. All such modifications shall be documented.

B.4.3 *Athletes* who are *Minors* should be notified in the presence of an *Athlete* representative (who is not a *Minor*) and should also be accompanied by a representative throughout the entire Sample Collection Session.

*[Comment to B.4.3: It is recommended that an *Athlete* who is a *Minor* be accompanied by an *Athlete* representative. Reasonable efforts should be made by the Sample Collection Personnel to encourage the *Athlete* who is a *Minor* to have an *Athlete* representative throughout the Sample Collection Session and to assist the *Athlete* in locating one. In situations where the *Athlete* is unable to locate a representative then two Sample Collection Personnel shall always accompany the *Athlete* until their Sample Collection Session is completed, however, if an *Athlete* representative is located and present with the *Athlete*, the second Sample Collection Personnel is not required to accompany the *Athlete* with the exception of when the *Athlete* is ready to provide a *Sample* in accordance with the procedures outlined in Annex B.4.5.]*

- B.4.4** Should an *Athlete* who is a *Minor* decline to have a representative present during the collection of a *Sample*, this does not invalidate the Test but shall be clearly documented by the DCO. Any follow up action taken by the DCO and/or Chaperone to encourage and assist the *Athlete* in locating a representative should also be documented.
- B.4.5** The representative of the *Athlete* who is a *Minor*, if present, shall only observe the DCO/Chaperone during the passing of the urine *Sample*, unless requested by the *Athlete* who is a *Minor* to observe the passing of the urine *Sample* directly. The second member of the Sample Collection Personnel shall only observe the DCO/Chaperone and shall not directly observe the passing of the *Sample*.
- B.4.6** The preferred venue for all *Out-of-Competition Testing* of the *Athlete* who is a *Minor* is a location where the presence of an *Athlete* representative (who is not a *Minor*) is most likely to be available for the duration of the Sample Collection Session, e.g., a training venue.

ANNEX C - COLLECTION OF URINE SAMPLES

C.1 Objective

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

- a) Consistency with relevant principles of internationally recognized standard precautions in healthcare settings so that the health and safety of the *Athlete* and Sample Collection Personnel are not compromised;
- b) The *Sample* meets the Suitable 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 Testing Authority for the Sample Collection Session in question.

*[Comment to C.1 (b): The measurements taken in the field for Suitable Specific Gravity for Analysis and the Suitable Volume of Urine for Analysis are preliminary in nature, to assess whether the *Sample* meets the requirements for analysis. It is possible there could be discrepancies between the field readings and the final Laboratory readings due to the precision of the Laboratory equipment. The Laboratory reading will be considered final, and such discrepancies (if any) shall not constitute a basis for *Athletes* to seek to invalidate or otherwise challenge an Adverse Analytical Finding.]*

- c) The *Sample* has not been manipulated, substituted, contaminated, or otherwise tampered with in any way;
- d) The *Sample* is clearly and accurately identified; and
- e) The *Sample* is securely sealed in a Tamper Evident kit.

D.1 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.

C.2 Responsibility

C.2.1 The DCO has the responsibility for ensuring that each *Sample* is properly collected, identified and sealed.

C.2.2 The DCO/Chaperone has the responsibility for directly witnessing the passing of the urine *Sample*.

C.3 Requirements

C.3.1 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 A - Modifications for *Athletes* with Impairments, in Annex B - Modifications for *Athletes* who are *Minors* and/or Annex L – Modifications for Transgender and Gender Diverse *Athletes*.

C.3.2 The DCO shall ensure that the *Athlete* is offered a choice of *Sample* collection vessels for collecting the *Sample*. If the nature of an *Athlete's* impairment requires that they must use additional or other equipment as provided for in Annex A - Modifications for *Athletes* with

Impairments, the DCO shall inspect that equipment to ensure that it will not affect the integrity, identity or security of the *Sample*.

[Comment to C.4.2: For further guidance on additional or other equipment that Athlete's may use as part of the Sample collection process, please see WADA's Guidelines for Sample Collection.]

- C.3.3** 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, they 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 urine *Sample* collection, and this shall be recorded by the DCO.
- C.3.4** 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* impairment as provided for in Annex A - Modifications for *Athletes* with 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 authorized by the *Athlete* and agreed to by the DCO.
- C.3.5** The DCO/Chaperone who witnesses the passing of the *Sample* shall be of the same gender as the *Athlete* providing the *Sample* and where applicable, based on the gender of the *Event* the *Athlete* competes in.
- C.3.6** The DCO/Chaperone shall, where practicable, ensure the *Athlete* thoroughly washes their hands with water only prior to the provision of the *Sample* or wears suitable (e.g., disposable) gloves during provision of the *Sample*.
- C.3.7** The DCO/Chaperone and *Athlete* shall proceed to an area of privacy to collect a *Sample*.
- C.3.8** The DCO/Chaperone shall ensure an unobstructed view of the *Sample* leaving the *Athlete's* body and shall continue to observe the *Sample* after provision until the *Sample* is securely sealed. 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.
- C.3.9** The DCO/Chaperone shall ensure that urine passed by the *Athlete* is collected in the collection vessel to its maximum capacity and thereafter the *Athlete* is encouraged to fully empty their bladder into the toilet. The DCO shall verify, in full view of the *Athlete*, that the Suitable Volume of Urine for Analysis has been provided.
- C.3.10** Where the volume of urine provided by the *Athlete* is insufficient, the DCO shall follow the partial *Sample* collection procedure set out in Annex E - Urine Samples - Insufficient Volume.
- C.3.11** 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 or containers in accordance with Annex C.4.3.

- C.3.12** Once a *Sample* collection kit has been selected, the DCO and the *Athlete* shall check that all *Sample* 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 Annex C.4.3. The DCO shall record the matter.
- C.3.13** The *Athlete* shall pour the minimum Suitable Volume of Urine for Analysis into the B bottle or container (to a minimum of 30 mL), and then pour the remainder of the urine into the A bottle or container (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 or container 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 or container 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 the residual urine in accordance with Annex C.4.15.
- C.3.14** The *Athlete* shall then seal the A and B bottles or containers as directed by the DCO. The DCO shall check, in full view of the *Athlete*, that the bottles or containers have been properly sealed.
- C.3.15** 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, then the DCO shall follow Annex F - *Urine Samples* that do not meet the requirement for Suitable Specific Gravity for Analysis.
- C.3.16** Urine should only be discarded when both the A and B bottles or containers have been sealed and the residual urine has been tested in accordance with Annex C.4.15.
- C.3.17** The *Athlete* shall be given the option of witnessing the discarding of any residual urine that will not be sent for analysis.

ANNEX D - COLLECTION OF VENOUS BLOOD SAMPLES

D.1 Objective

- D.1.1** To collect an *Athlete's* venous blood *Sample* by venipuncture in a manner that ensures:
- Consistency with relevant principles of internationally recognized 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;
 - The *Sample* is of a quality and quantity that meets the relevant analytical guidelines and requirements defined by the Laboratory;
 - The *Sample* has not been manipulated, substituted, contaminated or otherwise tampered with in any way;
 - The *Sample* is clearly and accurately identified; and
 - The *Sample* is securely sealed in a Tamper Evident kit.

D.2 Scope

The requirements of this Annex apply to venous blood *Samples* collected for the purposes of specific analysis and/or all Modules of the *Athlete Biological Passport*. The collection of a venous blood *Sample* begins with ensuring the *Athlete* is informed of the *Sample* collection requirements and ends with properly storing the *Sample* prior to transport to the Laboratory that will be analyzing the *Sample*.

[Comment to D.2: Additional requirements applicable only to whole blood Samples collected for the Hematological Module of the Athlete Biological Passport are contained in Annex I - Collection, Storage and Transport of Blood Athlete Biological Passport Samples and requirements for dried blood spot Samples are contained in Annex J - Collection, Storage and Transport of Dried Blood Spot Samples.]

D.3 Responsibility

- D.3.1** The DCO has the responsibility for ensuring that:
- Each *Sample* is properly collected, identified, and sealed; and
 - All *Samples* have been properly stored and dispatched in accordance with the relevant analytical guidelines.
 - If the serum blood sample collected from the *Athlete* will be analyzed by a quantification procedure i.e. human growth hormone, Endocrine and blood Steroidal Module of the *Athlete Biological Passport*, *Sample* collection shall not occur within sixty (60) minutes of the *Athlete's* training, participation in *Competition* or other similar physical activity. If the *Athlete* has trained or competed less than sixty (60) minutes before the time the *Athlete* has been notified of their selection, the DCO or other designated Sample Collection Personnel shall keep the *Athlete* under direct observation until this 60-minute period has elapsed.
- D.3.2** The BCO 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 to complete the Sample Collection Session.

D.4 Requirements

- D.4.1** Procedures involving blood shall be consistent with the local standards and regulatory requirements regarding precautions in healthcare settings where those standards and requirements exceed the requirements set out below.
- D.4.2** Venous blood Sample Collection Equipment shall consist of:
- Whole blood or serum collection tube(s); and/or
 - An A bottle or A and B bottles/containers for the secure transportation of collection tube(s); and/or
 - Unique labels for collection tube(s) with a *Sample* code number; and/or
 - Such other types of equipment to be used in connection with the collection of blood as set out in Article 6.3.4 and WADA's Guidelines for *Sample* Collection.
- D.4.3** The DCO shall ensure that the *Athlete* is properly notified of the requirements of the *Sample* collection, including any modifications as provided for in Annex A - Modifications for *Athletes* with Impairments.
- D.4.4** The DCO/Chaperone and *Athlete* shall proceed to the area where the *Sample* will be provided.
- D.4.5** The DCO/BCO shall ensure the *Athlete* is offered comfortable conditions and shall instruct the *Athlete* to remain in an upright, stationary seated position with feet on the floor for at least ten (10) minutes prior to providing a venous blood *Sample*. If the *Athlete's* feet cannot reach the floor and/or the *Athlete's* impairment does not allow feet on the floor, the *Athlete* shall remain in an upright, stationary seated position.
- D.4.6** The DCO/BCO shall instruct the *Athlete* to select the Sample Collection Equipment required for collecting the *Sample* and to check that the selected equipment has not been tampered with and any seals are intact. If the *Athlete* is not satisfied with the selected equipment, they may select another. If the *Athlete* is not satisfied with any equipment and no other is available, this shall be recorded by the DCO. If the DCO does not agree with the *Athlete* that all of the available equipment is unsatisfactory, the DCO shall instruct the *Athlete* to proceed with the Sample Collection Session. If the DCO agrees with the *Athlete* that all available equipment is unsatisfactory, the DCO shall terminate the blood *Sample* collection, and this shall be recorded by the DCO.
- D.4.7** When a *Sample* collection kit has been selected, the DCO/BCO and the *Athlete* shall check that all *Sample* code numbers match and that this *Sample* 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. If the collection tube(s) are not pre-labelled, the DCO/BCO shall label them with a unique *Sample* code number prior to the blood being drawn and the *Athlete* shall check that the code numbers match.
- D.4.8** The BCO shall assess the most suitable location for venipuncture that is unlikely to adversely affect the *Athlete* or their performance. This should be the non-dominant arm, unless the BCO assesses the other arm to be more suitable. The BCO shall clean the skin

with a sterile disinfectant wipe or swab and, if required apply a tourniquet. The 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.

- D.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* Guidelines for *Sample* Collection.
- D.4.10** If the amount of blood that can be removed from the *Athlete* at the first attempt is insufficient, the BCO shall repeat the procedure up to a maximum of three (3) attempts in total. Should all three (3) attempts fail to produce a sufficient amount of blood, then the BCO shall inform the DCO. The DCO shall terminate the blood *Sample* collection and record the reasons for terminating.
- D.4.11** The BCO shall apply a dressing to the puncture site(s).
- D.4.12** The BCO shall dispose of used blood sampling equipment not required to complete the Sample Collection Session in accordance with the required local standards for handling blood.
- D.4.13** 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 (3) times. The *Athlete* shall remain in the blood collection area and observe their *Sample* until it is sealed in a Tamper-Evident kit.
- D.4.14** The *Athlete* shall seal their *Sample* into a Tamper Evident 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.
- D.4.15** The sealed *Sample* shall be stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station to the Laboratory that will be analyzing the *Sample*.
- D.4.16** Venous blood *Samples* shall be transported in accordance with Article 9 and *WADA's* Guidelines for *Sample* Collection. 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, in a cool and constant environment, measured by a temperature data logger notwithstanding changes in external temperature. The transport device shall be transported by secure means using a method authorized by the Testing Authority or Sample Collection Authority.

ANNEX E - URINE SAMPLES - INSUFFICIENT VOLUME

E.1 Objective

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

E.2 Scope

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

E.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.

E.4 Requirements

E.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.

E.4.2 The DCO shall instruct the *Athlete* to select partial Sample Collection Equipment in accordance with Annex C.4.3.

E.4.3 The DCO shall then instruct the *Athlete* to open the relevant equipment, pour the insufficient *Sample* into the new container (unless the Sample Collection Authority's procedures permit retention of the insufficient *Sample* in the original collection vessel) and seal it using a partial *Sample* sealing system, 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.

E.4.4 The DCO shall record the partial *Sample* number and the volume of the insufficient *Sample* on the *Doping Control* form and confirm its accuracy with the *Athlete*. The DCO shall retain control of the sealed partial *Sample*.

E.4.5 While waiting to provide an additional *Sample*, the *Athlete* shall remain under continuous observation and be given the opportunity to hydrate in accordance with Article 7.3.3.

E.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 C - Collection of Urine *Samples*, until a sufficient volume of urine will be provided by combining the initial and additional *Sample(s)*.

E.4.7 Following each *Sample* provided, the DCO and *Athlete* shall check the integrity of the seal(s) on the container(s) containing the previously provided partial *Sample(s)*. Any irregularity with the integrity of the seal(s) will be recorded by the DCO and investigated according to Annex A - Review of a Possible Failure to Comply of the *International Standard for Results Management*. The DCO may request that an additional *Sample* is collected from the *Athlete*. A refusal to provide a further *Sample* if requested, where the

minimum requirements for *Sample* collection volume are not met, shall be recorded by the DCO and dealt with as a potential Failure to Comply in accordance with the *International Standard for Results Management*.

- E.4.8** The DCO shall then direct the *Athlete* to break the seal(s) and combine the *Samples*, ensuring that additional *Samples* are added in the order they were collected to the original partial *Sample* until, as a minimum, the requirement for Suitable Volume of Urine for Analysis is met.
- E.4.9** The DCO and the *Athlete* shall then continue with Annex C.4.12 or Annex C.4.14 as appropriate.

ANNEX F - URINE SAMPLES THAT DO NOT MEET THE REQUIREMENT FOR SUITABLE SPECIFIC GRAVITY FOR ANALYSIS

F.1 Objective

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

F.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 Testing Authority if required.

F.3 Responsibility

F.3.1 The 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.

F.3.2 The DCO is responsible for collecting additional *Samples* until a suitable *Sample* is obtained.

F.4 Requirements

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

F.4.2 The DCO shall inform the *Athlete* that they are required to provide a further *Sample*.

F.4.3 While waiting to provide a further *Sample*, the *Athlete* shall remain under continuous observation and shall be advised not to hydrate, since this may delay the production of a suitable *Sample*. In appropriate circumstances, further hydration after the provision of an unsuitable *Sample* may be pursued as a violation of Code Article 2.5.

[Comment to F.4.3: It is the responsibility of the Athlete to provide a Sample with a Suitable Specific Gravity for Analysis. Sample Collection Personnel shall advise the Athlete and Athlete Support Personnel as appropriate of this requirement at the time of notification in order to discourage excessive hydration prior to the provision of the Athlete's first Sample. If the Athlete's first Sample does not have a Suitable Specific Gravity for Analysis, they shall be advised to not hydrate any further until a Sample with a Suitable Specific Gravity for Analysis is provided.]

F.4.4 When the *Athlete* is able to provide an additional *Sample*, the DCO shall repeat the procedures for *Sample* collection set out in Annex C - Collection of Urine *Samples*.

F.4.5 The DCO shall continue to collect additional *Samples* until the requirement for Suitable Specific Gravity for Analysis is met, or until the DCO determines that there are exceptional circumstances which mean it is impossible to continue with the Sample Collection Session. Such exceptional circumstances shall be documented accordingly by the DCO.

[Comment to F.4.5: Sample Collection Authorities and DCOs should ensure they have adequate equipment to comply with the requirements of Annex F. The DCO should wait as long as necessary to collect such additional Sample(s) with a Suitable Specific Gravity for Analysis. The 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.]

- F.4.6** The DCO shall record that all the *Samples* collected belong to a single *Athlete* and the order in which the *Samples* were provided.
- F.4.7** The DCO shall then continue with the Sample Collection Session in accordance with Annex C.4.17.
- F.4.8** 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.
- F.4.9** When two (2) *Samples* are collected from an *Athlete*, during the same Sample Collection Session, both *Samples* shall be analyzed by the Laboratory. In cases where three (3) or more *Samples* are collected during the same Sample Collection Session, the Laboratory shall prioritize and analyze the first and the subsequent collected *Sample* with the highest specific gravity, as recorded on the *Doping Control* form. The Laboratory, in conjunction with the Testing Authority, may determine if the other *Samples* need to be analyzed.

ANNEX G - SAMPLE COLLECTION PERSONNEL REQUIREMENTS

G.1 Objective

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

G.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.

G.3 Responsibility

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

G.4 Requirements - Qualifications and Training

G.4.1 The Sample Collection Authority shall:

- a) Determine the necessary competence, eligibility and qualification requirements for the positions of DCO, Chaperone and BCO; and
- b) Develop duty statements for all Sample Collection Personnel that outline their respective responsibilities. As a minimum:
 - i. Sample Collection Personnel shall not be *Minors*; and
 - ii. BCOs shall have adequate qualifications and practical skills required to perform blood collection from a vein.

G.4.2 The Sample Collection Authority shall ensure that Sample Collection Personnel sign an agreement dealing with any conflicts of interest as listed in Annex G.4.3, confidentiality and code of conduct.

G.4.3 Sample Collection Personnel shall not be appointed to a Sample Collection Session where they have an interest in the outcome of a Sample Collection Session. At a minimum, Sample Collection Personnel are deemed to have such an interest if they are:

- a) Involved in the participation or administration of the sport at the level for which *Testing* is being conducted;
- b) Related to, or involved in the personal affairs of, any *Athlete* who might provide a *Sample* at that Sample Collection Session;
- c) Have family members actively involved in the daily activities of the sport at the level for which *Testing* is being conducted (e.g., administration, coaching, training, officiating, competitor, medical);
- d) Are engaged in business with, have a financial interest in or personal stake in a sport that has *Athletes* who are subject to *Testing*;

- e) Are drawing or likely to draw personal and/or professional gain or advantage directly or indirectly from a third party due to their own decisions taken in the fulfillment of their official functions; and/or
- f) Appear to have private or personal interests that detract from their ability to perform their duties with integrity in an independent and purposeful manner.
- g) In cases where potential conflicts of interest are declared, the Sample Collection Authority shall regularly monitor such conflicts and ensure those Sample Collection Personnel with conflicts are not assigned or involved in anyway with those testing missions.

G.4.4 The Sample Collection Authority shall establish a system that ensures that Sample Collection Personnel are adequately trained to carry out their duties.

G.4.4.1 The training program for BCOs shall include, as a minimum, studies and practical implementation of all relevant requirements of the *Testing* and venous blood collection process for *Athletes* and familiarization with relevant standard precautions in healthcare settings. As part of recruiting BCOs an *Anti-Doping Organization* shall ensure that the applicant has the necessary qualifications, experience and proficiency in conducting venipuncture. Where required BCOs shall also be trained in dried blood spot *Sample* collection procedures.

G.4.4.2 The training program for DCOs shall include, as a minimum:

- a) Comprehensive theoretical and practical training in those *Doping Control* activities relevant to the DCO position;
- b) Observation of all Sample Collection Session activities that are the responsibility of the DCO as set out in this *International Standard for Testing*, preferably on-site as part of field training; and
- c) The satisfactory performance of at least one complete Sample Collection Session on-site under observation by a qualified DCO trainer or similar. The requirement related to the actual passing of a urine *Sample* shall be included in the on-site observations. The DCO trainer shall observe the trainee DCO witnessing the passing of the *Sample* but not observe the actual passing of the *Sample*.

G.4.4.3 The training program for Chaperones shall include both theoretical and practical training that includes all relevant requirements of the Sample Collection Session including but not limited to situations dealing with the rights and responsibilities of *Athletes* and various scenarios involving notification and escorting of *Athletes* selected for *Testing*, *Failure to Comply*, evasion, *Athletes* who are *Minors* and/or *Athletes* with impairments. Chaperones shall be provided with accreditation by the Sample Collection Authority in accordance with Article 5.3.3.

- a) The use of volunteer Chaperones should be avoided or limited to *Events* only. The volunteer Chaperones shall receive both theoretical and practical training specific to their role at the *Event* and fulfill the requirements of G.4.2 and G.4.3

- b) Volunteer Chaperones shall be provided with a temporary accreditation by the Sample Collection Authority and also have available government issued photo identification. Volunteer Chaperones shall not be responsible for witnessing the provision of the *Athlete's Sample*; this shall be the responsibility of the DCO or accredited Chaperone.

G.4.4.4 A Sample Collection Authority that collects *Samples* from *Athletes* who are of a different nationality and who may speak a different language to its Sample Collection Personnel (e.g., at an *International Event* or in an *Out-of-Competition* context) or from transgender or gender diverse *Athletes* should ensure that such Sample Collection Personnel are adequately trained to carry out their duties in respect of such *Athletes*.

G.4.4.5 The Sample Collection Authority shall maintain up to date records of education, training, skills, conflicts of interest and experience of all Sample Collection Personnel including any volunteer Chaperones (if applicable).

G.5 Requirements - Accreditation, Re-Accreditation and Delegation

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

G.5.2 The 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* (including, where G.4.4.4 applies, before granting accreditation).

G.5.3 Accreditation shall only be valid for a maximum of two (2) years. Sample Collection Personnel shall be subject to an assessment (theoretical and/or practical) before being re-accredited and 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.

G.5.4 Only Sample Collection Personnel who have an accreditation recognized by the Sample Collection Authority shall be authorized to conduct *Sample* collection activities on behalf of the Sample Collection Authority.

G.5.5 The Sample Collection Authority shall develop a system to monitor the performance of Sample Collection Personnel during the period of accreditation, including defining and implementing criteria for revoking accreditation.

G.5.6 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 authorized duties as determined by the Sample Collection Authority.

[Comment to G.5.6: Due to the absence of venipuncture during dried blood spot collection, in many jurisdictions, dried blood spot Samples may be collected by a DCO without the need for a specialized BCQ if standard precautions in healthcare settings are followed and the DCO is suitably trained in accordance with Annex J.3.]

ANNEX H - EVENT TESTING

H.1 Objective

To ensure there is a procedure to follow when a request is made by an *Anti-Doping Organization* 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*. WADA's objective in considering such requests is to:

- a) Encourage collaboration and coordination between different *Anti-Doping Organizations* to optimize the effectiveness of their respective *Testing* programs;
- b) Ensure that each *Anti-Doping Organization's* responsibilities are properly managed; and
- c) Avoid creating operational disturbance and harassment for *Athletes*.

H.2 Scope

The procedure starts with the *Anti-Doping Organization* that is not responsible for initiating or directing *Testing* at an *Event* contacting the ruling body of the *Event* in writing to seek permission to conduct *Testing* and ends with WADA issuing a decision as to who shall be responsible to conduct *Testing* at the *Event*.

H.3 Responsibility

Both *Anti-Doping Organizations* seeking permission to conduct *Testing* at an *Event* and the ruling body of the *Event* should collaborate and where possible coordinate *Testing* at the *Event*. However, if this is not possible, then both *Anti-Doping Organizations* are required to submit their reasonings to WADA within the timeframes outlined. WADA then has the responsibility of reviewing the circumstances and issuing a decision in accordance with the procedures set out in this Annex.

H.4 Requirements

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.

H.4.1 Such request shall be sent to the ruling body at least thirty-five (35) days prior to the beginning of the *Event* (i.e., thirty-five (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.

H.4.2 If the ruling body refuses or does not respond within seven (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 twenty-one (21) days prior to the beginning of the *Event*.

- H.4.3** Upon receipt of such request, *WADA* will immediately ask the ruling body for its position on the request and the grounds for its refusal. The ruling body shall send *WADA* an answer within seven (7) days of receipt of *WADA*'s request.
- H.4.4** Upon receipt by *WADA* of the ruling body's answer, or if no answer is provided by the ruling body within the seven (7) days, *WADA* will render a reasoned decision within the next seven (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 *Testing* 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 conduct *Testing* 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.
- H.4.5** If an *Anti-Doping Organization* who is not the ruling body for an *Event* in the country in which the *Event* is being hosted, has or receives Anti-Doping Intelligence regarding potential doping by an *Athlete(s)* who is due to compete at the *Event*, the *Anti-Doping Organization* shall share the Anti-Doping Intelligence with the ruling body of the *Event* as soon as possible. If no *Testing* is planned by the ruling body for the *Event* and the *Anti-Doping Organization* is in a position to conduct *Testing* itself, the ruling body for the *Event* shall assess whether it or the *Anti-Doping Organization* can conduct *Testing* regardless of whether the Anti-Doping Intelligence is provided by the *Anti-Doping Organization* within the thirty-five (35) day period preceding the *Event*. If the ruling body of the *Event* fails to engage with the *Anti-Doping Organization* that provided the Anti-Doping Intelligence or decides it is not able to conduct *Testing* itself or does not authorize the *Anti-Doping Organization* to conduct *Testing* at the *Event*, then the *Anti-Doping Organization* shall notify *WADA* immediately.
- H.4.6** 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.

ANNEX I - COLLECTION, STORAGE AND TRANSPORT OF BLOOD ATHLETE BIOLOGICAL PASSPORT SAMPLES

I.1 Objective

To collect an *Athlete's* blood *Athlete Biological Passport Sample* by venipuncture, intended for use in connection with the measurement of individual *Athlete* blood variables within the framework of the Hematological Module of the *Athlete Biological Passport* program, in a manner appropriate for such use. The requirements of this Annex are additional requirements to those contained in Annex D - Collection of Venous Blood Samples.

I.2 Requirements

I.2.1 Planning shall consider the *Athlete's* whereabouts information to ensure *Sample* collection does not occur within two (2) hours of the *Athlete's* training, participation in *Competition* or other similar physical activity. If the *Athlete* has trained or competed less than two (2) hours before the time the *Athlete* has been notified of their selection, the DCO or other designated Sample Collection Personnel shall chaperone the *Athlete* until this two-hour period has elapsed.

I.2.2 If the *Sample* was collected within two (2) hours of training or *Competition*, the nature, duration and intensity of the exertion shall be recorded by the DCO to make this information available to the APMU.

I.2.3 Although a single blood *Athlete Biological Passport Sample* is sufficient within the framework of the Hematological Module of the *Athlete Biological Passport*, it is recommended to collect an additional (B) *Sample* for a possible subsequent analysis of *Prohibited Substances* and *Prohibited Methods* in whole blood (e.g., detection of homologous blood transfusion (HBT) and/or erythropoietin receptor agonists (ERAs)).

I.2.4 For *Out-of-Competition Testing*, A and B urine *Samples* should be collected together with the blood *Athlete Biological Passport Sample(s)* in order to permit Analytical Testing for ERAs unless otherwise justified by a specific intelligent *Testing* strategy.

[Comment to I.2.4: WADA's Guidelines for Sample Collection reflect these protocols and include practical information on the integration of Athlete Biological Passport Testing into "traditional" Testing activities. A table has been included within WADA's Guidelines for Sample Collection that identifies which particular timelines for delivery are appropriate when combining particular types of analysis (e.g, blood Athlete Biological Passport and growth hormone (GH), blood Athlete Biological Passport and HBT, etc.), and which types of Samples may be suited for simultaneous transport.]

I.2.5 The *Sample* shall be refrigerated from its collection until its analysis with the exception of when the *Sample* is analyzed immediately following collection. The storage procedure is the DCO's responsibility.

I.2.6 The storage and transport device shall be capable of maintaining blood *Athlete Biological Passport Samples* at a cool temperature during storage. Whole blood *Samples* shall not be allowed to freeze at any time. In choosing the storage and transport device, the DCO shall take into account the time of storage, the number of *Samples* to be stored in the device and the prevailing environmental conditions (hot or cold temperatures). The storage device shall be one of the following:

- a) Refrigerator;
- b) Insulated cool box;
- c) Isotherm bag; or
- d) Any other device that possesses the capabilities mentioned above.

I.2.7 A temperature data logger shall be used to record the temperature from the collection to the analysis of the *Sample* except when the *Sample* is analyzed immediately following collection. The temperature data logger shall be able to:

- a) Record the temperature in degrees Celsius at least once per minute;
- b) Record time in GMT;
- c) Report the temperature profile over time in text format with one line per measurement following the format “YYYY-MM-DD HH:MM T”; and
- d) Have a unique ID of at least six characters.

I.2.8 Following notification to the *Athlete* that they have been selected for *Sample* collection and following the DCO/BCO's explanation of the *Athlete*'s rights and responsibilities in the *Sample* collection process, the DCO/BCO shall ask the *Athlete* to remain still, in an upright, stationary seated position, with feet on the floor for at least ten (10) minutes prior to providing a blood *Sample*. If the *Athlete*'s feet cannot reach the floor and/or the *Athlete*'s impairment does not allow feet on the floor, the *Athlete* shall remain in an upright, stationary seated position.

[Comment to I.2.8: The Athlete shall not stand up at any time during the ten (10) minutes prior to Sample collection. To have the Athlete seated during ten (10) minutes in a waiting room and then to call the Athlete into a blood collection room is not acceptable.]

I.2.9 The DCO/BCO shall collect and record additional information on an *Athlete Biological Passport* supplementary form, *Athlete Biological Passport* specific *Doping Control* form or other related report form to be signed by the *Athlete* and the DCO/BCO that contains the mandatory questions when collecting a blood *Athlete Biological Passport Sample* within the corresponding *WADA* template and *ADAMS*.

[Comment to Article I.2.9: When collecting a blood Athlete Biological Passport Sample the set of questions that the Athlete shall answer and the DCO/BCO shall record are contained within the ABP Operating Guidelines.]

I.2.10 The DCO/BCO shall start the temperature data logger and place it in the storage device. It is important to start recording the temperature before *Sample* collection.

I.2.11 The storage device shall be located in the Doping Control Station and shall be kept secure.

I.2.12 The DCO/BCO instructs the *Athlete* to select the Sample Collection Equipment in accordance with Annex D.4.6 and continue the Sample Collection Session in accordance with Annex D.4.7.

I.3 The *Sample* Collection Procedure

- I.3.1 The *Sample* collection procedure for the collection of venous blood for the purposes of the *Athlete Biological Passport* is consistent with the procedure set out in Annex D.4, including the ten (10) minute (or more) seated period.
- I.3.2 The *Athlete* and the DCO/BCO sign the *Doping Control* and *Athlete Biological Passport* supplementary form(s), when applicable.
- I.3.3 The blood *Athlete Biological Passport Sample* is sealed and deposited in the storage device containing the temperature data logger.

I.4 Transportation Requirements

- I.4.1 Blood *Athlete Biological Passport Samples* shall be transported in a device that maintains the integrity of *Samples* over time, due to changes in external temperature.
- I.4.2 The transport procedure is the DCO's responsibility. The transport device shall be transported by secure means using a Sample Collection Authority authorized transport method.
- I.4.3 The integrity of the *Markers* used in the Hematological Module of the *Athlete Biological Passport* is guaranteed when the Blood Stability Score (BSS) remains below eighty-five (85), where the BSS is computed as:

$$\text{BSS} = 3 * T + \text{CAT}$$

with CAT being the Collection to Analysis Time (in hours), and T the average Temperature (in degrees Celsius) measured by the data logger between *Sample* collection and analysis.

- I.4.4 Within the framework of the BSS, the following table can be used by the DCO/BCO to estimate the maximal transport time to a Laboratory or ABP Laboratory, called the Collection to Reception Time (CRT), for a given average temperature (T), e.g., if shipped at 4°C, the maximal CRT is 60 h.:

T [°C]	CRT [h]
15	27
12	36
10	42
9	45
8	48
7	51
6	54
5	57
4	60

- I.4.5 The DCO/BCO shall as soon as possible transport the blood *Athlete Biological Passport Sample* to a Laboratory or ABP Laboratory.
- I.4.6 The Testing Authority or Sample Collection Authority shall report without delay into ADAMS:
- a) The *Doping Control* form, as per Article 4.10.18.1 c);
 - b) The *Athlete Biological Passport* supplementary form, and/or the additional information specific to the *Athlete Biological Passport* collected on a related report form;
 - c) In the Chain of Custody, the temperature data logger ID (without any time reference) and the time zone of the *Testing* location in GMT.

ANNEX J - COLLECTION, STORAGE AND TRANSPORT OF DRIED BLOOD SPOT SAMPLES

J.1 Objective

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

- a) Consistency with relevant principles of internationally-recognized standard precautions in healthcare settings, and is collected by a suitably trained *Person*, so that the health and safety of the *Athlete* and Sample Collection Personnel are not compromised;
- b) The *Sample* is of a quality and quantity that meets the relevant analytical requirements;
- c) The *Sample* has not been manipulated, substituted, contaminated or otherwise tampered with in any way;
- d) The *Sample* is clearly and accurately identified; and
- e) The *Sample* is securely sealed in a Tamper Evident kit.

J.2 Scope

The collection of a dried blood spot *Sample* begins with ensuring the *Athlete* is informed of the *Sample* collection requirements and ends with properly storing the *Sample* prior to transport to the Laboratory that will be analysing the *Sample*. Dried blood spot *Samples* are collected by puncture/incision of the skin to access capillary vessels (small blood vessels). One dried blood spot *Sample* consists of a series of small volumes of capillary blood, which are collected within the same Sample Collection Session and allowed to dry on an absorbent *Sample* support.

[Comment to J.2: In this context, the term "dried blood spot" refers to a capillary blood Sample that is collected and allowed to dry on an absorbent Sample support, including Samples collected by "spotting" capillary blood directly onto a cellulose-based card or other absorbent Sample support made of cellulose or of another material, as well as those collected via a specific device with integrated microneedle(s)/microlancet(s).]

J.3 Responsibility

When planning to collect dried blood spot *Samples* *Anti-Doping Organizations* shall consider the available type of analyses. Dried blood spot *Sample* collections are complementary to existing *Sample* collections however dried blood spot *Sample* collections shall not replace the need for urine *Sample* collections as part of an effective *Testing* program.

Due to the absence of venipuncture during dried blood spot collection, dried blood spot *Samples* may be collected by a DCO without the need for a specialized BCO if standard precautions in healthcare settings are followed and the DCO is suitably trained. Procedures for dried blood spot collection shall be consistent with local standards and regulatory requirements.

The DCO and/or the BCO have the responsibility for:

- a) Collecting the dried blood spot *Sample*;
- b) Ensuring that each *Sample* is properly identified and sealed;
- c) Answering relevant questions during the provision of the *Sample*;

- d) Properly disposing of dried blood spot sampling equipment that is opened but not used, or used pieces of equipment not sealed with the absorbent *Sample* support; and
- e) Properly storing and dispatching each *Sample*.

J.4 Requirements for Dried Blood Spot Sample Collection Equipment

The dried blood spot Sample Collection Equipment shall fulfill the following criteria:

- a) Contain a single-use medically approved *Sample* collection device for the puncture/incision and collection of capillary blood at the fingertip and/or from the upper arm (alternative sites of punctures may be authorized for *Athletes* with physical impairments, if required). Both manual (i.e., disposable sterile lancets to be used in conjunction with absorbent material), and automatic devices (i.e. with integrated microneedle(s)/microlancet(s)) can be used. No use of additional supports for the transfer of capillary blood (positive displacement pipettes and pipette tips, end-to-end calibrated capillaries, etc.) is permitted.
- b) Both volumetric and non-volumetric collection devices could be used, although, if possible, it is recommended to prioritize the use of volumetric collection devices.
- c) The absorbent *Sample* support shall be made of either cellulose or synthetic polymer. For cellulose cards it is recommended to use untreated/non impregnated cellulose;
- d) The “A” and “B” absorbent *Sample* support shall allow the collection of distinct “A” and “B” spots (or equivalent) with a minimum total of approximately 40 µL of capillary blood in the “A” spot(s) and with a minimum total of approximately 20 µL of capillary blood in the “B” spot(s) and;

*[Comment to J.4 (d): Depending on the dried blood spot Sample Collection Equipment used, the volume and number of spots may vary. If a spot has a small volume (e.g., around 10 µL), several spots may be combined to perform the required Analytical Testing Procedure(s). The minimum required volumes for the “A” and “B” spots will enable a single analysis (e.g. steroid esters or ERAs or non-threshold substances etc.). If multiple analysis are to be planned from the same dried blood spot sampling, the number of spots (at least the one for the A *Sample*) will need to be adjusted. In addition, when possible, it is recommended to collect an increased volume for both the “A” spot(s) and the “B” spot(s), by increasing the number of spots collected for each *Sample*.]*

- e) The *Sample* container and/or storage sleeves/packages/receptacles shall contain a desiccant to allow the spots to dry expeditiously when already sealed (without having to wait before sealing and without the risk of the *Sample* getting in contact/glueing with the surface or parts of the collection device) and shall offer protection against possible premature degradation or contamination of the *Sample*. Dried blood spot cards/devices that can be closed/sealed as soon as sampled, should be preferred to other cards/devices which require a minimal drying time prior to sealing/closing.

*[Comment to J.4: Additional guidance for dried blood spot Sample Collection Equipment can be found in WADA’s Guidelines for *Sample Collection*.]*

J.5 Dried Blood Spot *Sample* Provision

Procedures involving blood collection shall be consistent with the local standards and regulatory requirements regarding precautions in healthcare settings where those standards and requirements exceed the requirements set out below.

J.5.1 The DCO shall ensure that the *Athlete* is properly notified of the requirements of the *Sample*

collection, including any modifications as provided for in Annex A - Modifications for *Athletes* with Impairments and/or in Annex B - Modifications for *Athletes* who are *Minors*.

J.5.2 The DCO/Chaperone and *Athlete* shall proceed to the area where the *Sample* will be provided.

J.5.3 The DCO/BCO shall wear gloves during the *Sample* collection process and until the *Sample* is sealed.

J.5.4 The DCO/Chaperone shall, where practicable, ensure the *Athlete* thoroughly washes their hands with water only prior to the provision of the *Sample*.

[Comment to J.5.4: Any traces of talcum powder, resin, or other products that Athletes use should be thoroughly cleaned, and alcohol pads or swabs may be used if needed.]

J.5.5 The DCO/BCO shall ensure that the *Athlete* is offered comfortable conditions for the provision of the *Sample*.

[Comment to J.5.5: The requirement for the Athlete to be seated in an upright stationary position for at least 10 minutes with feet on the floor as contained in Annex D.4.5 prior to providing a blood Sample does not apply before the provision of a dried blood spot Sample.]

J.5.6 The DCO/BCO shall instruct the *Athlete* to select the Sample Collection Equipment required for collecting the *Sample* and to check that the selected equipment has not been tampered with and any seals are intact. If the *Athlete* is not satisfied with the selected equipment, they may select another. If the *Athlete* is not satisfied with any equipment and no other is available, this shall be recorded by the DCO. If the DCO does not agree with the *Athlete* that all of the available equipment is unsatisfactory, the DCO shall instruct the *Athlete* to proceed with the Sample Collection Session. If the DCO agrees with the *Athlete* that all available equipment is unsatisfactory, the DCO shall terminate the collection of dried blood spot *Samples* and this shall be recorded by the DCO.

J.5.7 When a *Sample* collection kit has been selected, the DCO and the *Athlete* shall check that all *Sample* code numbers match and that this *Sample* 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.

J.5.8 The DCO/BCO shall assess the most suitable location for puncture at the fingertip and/or from the upper arm that is unlikely to adversely affect the *Athlete* or their sporting performance (e.g., non-dominant hand/arm). This should be a site of puncture that is free of any calluses, cuts, scars and tattoos. The DCO /BCO should select an alternative suitable site of puncture for *Athletes* with physical impairments if applicable.

[Comment to J.5.8: The DCO/BCO should decide whether the dried blood spot Sample be collected from the right or left hand/arm. However, they may not be given the choice of the collection between the hand or arm, as this is dependent on the Sample Collection Equipment used by the SCA.]

J.5.9 The DCO/BCO shall instruct the *Athlete* to warm the *Sample* collection site by, for example, washing the hands in warm water, shaking the hand/arm, massaging the puncture site, or placing the hand/arm in a warm blanket or equivalent.

J.5.10 The DCO/BCO shall clean the skin with a sterile alcohol pad or swab. Disinfectant gels shall not be used. Once the skin is completely dried, the DCO/BCO shall take the capillary

blood *Sample* from the fingertip or an area on the upper arm using the dried blood spot collection device in accordance with the instructions provided by the equipment manufacturers.

For dried blood spot *Samples* collected from the fingertip:

- a) The middle or ring finger should be selected if possible. The little finger may also be selected but the collection may be more painful;
- b) The puncture should be done with a lancet, slightly lateral to the pad of the finger, on the last phalanx of the finger;
- c) Blood flow can be increased by gently massaging the proximal portion of the finger in a distal direction. However, squeezing or milking the finger should be avoided as it may cause hemolysis and dilution of the *Sample*;
- d) The first drop of blood shall be wiped away with a dry sterile compress/gauze pad;
- e) Only the drop of blood shall enter into contact with the dried blood spot absorbent *Sample* support, while the finger shall not touch it. The drop of blood should not be smeared onto the absorbent *Sample* support; and
- f) Only one drop of blood shall be applied per spot, because the dripping of several drops onto the same spot would cause an inhomogeneous *Sample*.

For dried blood spot *Samples* collected from the upper arm with a device with integrated microneedle(s)/microlancet(s):

- g) The DCO/BCO shall be responsible for applying and removing the device from the *Athlete's* arm. The *Athlete* is permitted to press the button to engage the microneedle(s)/microlancet(s) after having received the necessary instructions from the DCO/BCO. Otherwise, the DCO/BCO will press the button.

J.5.11 The volume of capillary blood removed shall be adequate to satisfy the relevant analytical requirements for the *Sample* analysis to be performed, *i.e.*, a minimum total of approximately 40 μL of capillary blood in the "A" spot(s) and a minimum total of approximately 20 μL of capillary blood in the "B" spot(s) for chromatography-mass spectrometric Analytical Methods. Other special analyses may require additional *Samples* and/or increased *Sample* volume.

J.5.12 The DCO/BCO shall verify that capillary blood is deposited on the absorbent *Sample* support and that a sufficient number of spots in the "A" and "B" *Samples* (to produce a sufficient amount of capillary blood, as described in Annex J.5.11) are saturated with blood.

J.5.13 If the volume of capillary blood collected from the *Athlete* at the first attempt is insufficient, the DCO/BCO shall repeat the procedure up to a maximum of three (3) attempts in total. Should all three (3) attempts fail to produce a sufficient volume of capillary blood, the DCO shall terminate the collection of dried blood spot *Samples* and record the reasons for its termination. If more than one attempt is needed, another site of puncture shall be selected by the DCO/BCO. The skin shall be cleaned and a new lancet/*Sample* Collection device shall be used for the puncture of the skin.

[Comment to J.5.13: An attempt is defined as the act of puncturing the skin, i.e., only if the lancet or

microneedle(s)/microlancet(s) has(ve) been engaged and punctured the skin.]

- J.5.14** After collection, the DCO/BCO shall apply pressure to the puncture site(s) or ask the *Athlete* to do so. The DCO/BCO shall then apply a dressing(s).
- J.5.15** The DCO/BCO shall dispose of used pieces of equipment that are not sealed with the absorbent *Sample* support in accordance with the required local standards for handling blood.
- J.5.16** If the *Sample* requires further on-site processing, such as removal of the absorbent *Sample* support (e.g., cellulose paper, cartridge) from the collection device, the DCO/BCO shall do so and then transfer the *Sample* into the Tamper Evident kit. The *Athlete* shall remain in the collection area and observe their *Sample* until it is sealed in a Tamper Evident kit.
- J.5.17** The *Athlete* shall seal their *Sample* in the Tamper Evident 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 DCO/BCO shall sign the *Sample* collection documentation; and
- J.5.18** The sealed dried blood spot *Sample* can be stored at room temperature and shall be stored in a manner which minimizes the potential for *Sample* degradation due to factors such as time delays, exposure to light and extreme temperature variations.

J.6 Requirements for Transport

- J.6.1** Dried blood spot *Samples* shall be transported in accordance with Articles 9.1 to 9.3, with the following specifications:
 - a) Dried blood spot *Samples* can be shipped as non-hazardous materials using regular mail or courier services, subject to any applicable regulations;
 - b) While the *Sample* containers shall be transparent, it is recommended to transport dried blood spot *Samples* in a non-transparent transport box/bag to protect the *Samples* from light exposure; and
 - c) Dried blood spot *Samples* can be transported at ambient temperature. If collecting other blood *Samples* (e.g., blood *Athlete Biological Passport Samples*) during the same Sample Collection Session, dried blood spot *Samples* can also be shipped refrigerated.

ANNEX K - COLLECTION OF URINE SAMPLES IN A VIRTUAL ENVIRONMENT DURING A PANDEMIC

K.1 Objective

To provide a modified *Sample* collection procedure in a virtual environment that may only be implemented during a pandemic and/or a national epidemic when local or national government health restrictions in place allow an in-person notification of an *Athlete* but restrict in-person collection of a urine sample by a DCO.

[Comment to K.1: The ability to collect Samples during a pandemic may vary among countries based on the national approach to the pandemic and/or national epidemic, including the international, national and regional laws in place. As a result, Sample collection in a virtual environment is not mandatory. Before considering the implementation of Sample collection in a virtual environment an ADO should liaise with the applicable national health and data privacy authorities. If an ADO can conduct Sample collection in a virtual environment in the circumstances permitted by this Annex K, then the modified Sample collection procedures set out in this Annex, in particular complying with the additional standards referenced in Annex K.3.1 and K.3.2, are mandatory. Additional guidance on how to implement several of the requirements outlined in this Annex are provided in the Guidelines for Testing During a Pandemic.]

K.2 Scope

The procedure begins with the DCO notifying an *Athlete* at the testing location and handing the *Athlete* a package of Sample Collection Equipment and ends with the DCO collecting the sealed *Sample* and the corresponding *Sample* collection documentation from the *Athlete* at the location where notification to the *Athlete* of their selection for *Testing* and requirement to provide a *Sample* occurred, or at another location that the DCO and *Athlete* will agree to.

K.3 Responsibility

- K.3.1** In times of a pandemic and/or a national epidemic, all *Anti-Doping Organizations* shall follow the advice of national governments and health authorities to ensure the health and safety of *Athletes* and Sample Collection Personnel is protected. Specific requirements must be taken into consideration from any relevant international, national and regional laws when considering the implementation of *Sample* collection procedures (e.g., mandatory or recommended occupational health and safety practices such as social distancing, hand washing, mask wearing, vaccination etc.)
- K.3.2** Prior to implementation, *Anti-Doping Organizations* shall assess modified *Sample* collection procedures in a virtual environment, including any selected IT system and any Third-Party Agent involved in such procedures or IT system, against the requirements of the *International Standard for Data Protection* and applicable laws, such as privacy/data protection and if necessary, shall implement appropriate physical, organizational, technical, and other measures to mitigate privacy and information security risks identified in such assessment.
- K.3.3** The DCO has the responsibility for providing the *Athlete* with instructions from the point of the in-person notification and then virtually via the IT system used, and that each *Sample* is properly collected, identified, documented, sealed, and the integrity of the *Sample* is maintained throughout the virtual collection and sealing process.

K.4 Requirements

- K.4.1** When initial contact is made, the DCO shall inform the *Athlete*, at the testing location, that they are required to undergo a Sample collection. The notification of the *Athlete* shall be in accordance with Article 5.4.1.
- K.4.2** The DCO shall ensure that the *Athlete* is informed that the Sample collection and sealing procedure will be conducted in a virtual environment during their Sample Collection Session, including any modifications as provided for in Annex A - Modifications for *Athletes* with Impairments and/or in Annex B - Modifications for *Athletes* who are *Minors*.
- K.4.3** The DCO shall complete the 'Athlete Notification' part of the Sample collection documentation (either in paper or electronic form) and the *Athlete* shall sign it to acknowledge and accept the notification. If the *Athlete* refuses to sign that they have been notified, or evades the notification, the DCO shall, if possible, inform the *Athlete* of the Consequences of a Failure to Comply. The DCO shall document the facts in a detailed report and report the circumstances to the Testing Authority. The Testing Authority shall follow the steps prescribed in Annex A - Review of a Possible Failure to Comply of the *International Standard for Results Management*.
- K.4.4** The DCO shall start a two-way video and audio connection via the selected IT system (e.g., tablet, mobile phone, or body camera) with supporting mounting device (if applicable) and provide it to the *Athlete*. The DCO shall advise the *Athlete* that they must remain on camera with the DCO via the IT system for the duration of the Sample Collection Session. The DCO shall also inform the *Athlete* that recording functions have been completely disabled.
- K.4.5** The DCO shall then provide the *Athlete* with the package that includes Sample Collection Equipment, other supporting devices such as temperature monitoring strips, and applicable documentation. The DCO shall inform the *Athlete* to proceed with the Sample Collection Equipment to a suitable Sample collection location that is private and where the Sample Collection Session can continue. The DCO shall also ensure they are in a private location.
- K.4.6** When the *Athlete* is positioned in the Sample Collection location where the Sample Collection Session will be conducted, the DCO, connected virtually via the IT system, shall instruct the *Athlete* to:
- a) Confirm if an *Athlete* representative is present with the *Athlete* in the Sample Collection location;
 - b) Show the DCO on camera via the IT system the Sample Collection location selected where the Sample Collection Session will be conducted; and
 - c) Confirm satisfactory audio and visual quality of the IT system used.

- K.4.7** The DCO shall confirm to the *Athlete* that the DCO will also be on camera for the duration of the Sample Collection Session and that the Sample Collection Session is not being recorded.
- K.4.8** The DCO shall then ask the *Athlete* to place the IT system in a location where the DCO will have a view of the *Athlete* (including upper body and hands) and have full view of the Sample Collection Equipment.
- K.4.9** The *Athlete* shall place the content of the package with the Sample Collection Equipment, supporting devices and documentation on a steady surface in the Sample collection location in full view of the DCO.
- K.4.10** The *Athlete* shall complete the 'Athlete Information' part of the Sample collection documentation (either in paper or electronic form) with the assistance of the DCO.
- K.4.11** The DCO shall instruct the *Athlete* to select a collection vessel in accordance with Annex C.4.3. The DCO shall then ask the *Athlete* to apply a temperature monitoring strip to the outside of the collection vessel.
- K.4.12** When the *Athlete* is ready to provide a urine Sample, the DCO shall ask the *Athlete* to move to the toilet area and show the DCO on camera the toilet area in which they will be providing their Sample. The DCO should direct the *Athlete* as to the best location for the IT system to be positioned during the Sample provision. Anything suspicious e.g., other urine Samples or doping paraphernalia in the toilet area with potential to compromise the Sample collection shall be documented in detail by the DCO.
- K.4.13** The DCO shall also inform the *Athlete* that Sample provision will not be directly witnessed as it normally would be, i.e., the DCO observing the urine Sample directly leaving their body, however, the *Athlete* will be continuously observed via the IT system in the toilet area. The camera shall be set in a position in the toilet area that provides the DCO with a full view of the *Athlete's* upper body (i.e., waist to top of head) and arms while they are waiting to provide a Sample and/or during the Sample provision.
- K.4.14** The *Athlete* shall be reminded of the importance to stay on camera during the sample provision and be advised of the possible *Consequences* of a Failure to Comply. Any loss of connection should be documented including exact time and duration, as well as any further re-connection attempts and explanations from the *Athlete*. If the *Athlete* does not remain visible in the camera field of view or the Sample once provided by the *Athlete* does not remain visible in the camera field of view and if the circumstances are deemed suspicious by the DCO, the DCO shall consider collecting an additional Sample from the *Athlete*. The DCO shall document the facts in a detailed report and report the circumstances to the Testing Authority.
- [Comment to K.4.12 and K.4.14: If appropriate, the Testing Authority shall follow the steps prescribed in Annex A - Review of a Possible Failure to Comply in the International Standard for Results Management.]*
- K.4.15** Once the *Athlete* provides the required volume of urine, the DCO shall ask the *Athlete* to show them the collection vessel with the volume measurement scale on camera to validate that the Suitable Volume of Urine for Analysis has been provided. Where the volume of urine provided by the *Athlete* is insufficient, the DCO shall provide instructions to the *Athlete*

to follow the partial *Sample* collection procedure in accordance with Annex E - Urine *Sample* – Insufficient Volume.

- K.4.16** Once the lid of the collection vessel has been secured, the DCO shall then ask the *Athlete* whilst in the toilet area to show the temperature monitoring strip measurement on camera to allow the DCO to confirm the temperature of the urine *Sample*.
- K.4.17** The *Athlete* shall exit the toilet area and return to the *Sample* collection location, ensuring they keep their *Sample* visible on camera. On return to the *Sample* collection location, the *Athlete* shall position the camera in the same location as it was at the start of the procedure so that their *Sample* are in full view of the DCO until the *Sample* is sealed.
- K.4.18** The DCO shall guide the *Athlete* through the process of selecting and opening a *Sample* collection kit containing A and B bottles in accordance with Annex C.4.3 and Annex C.4.12. The *Athlete* shall show the DCO the *Sample* code numbers and the DCO should document them (and later confirm upon receipt of the *Sample*).
- K.4.19** The division of the *Sample* into the A and B bottles and the sealing of the A and B bottles shall be conducted by the *Athlete* in full view of the DCO in accordance with Annex C.4.13 and C.4.14.
- K.4.20** Once the *Athlete* has finished the sealing of the A and B bottles, the *Athlete* shall test the residual urine in the collection vessel to determine if the *Sample* has a Suitable Specific Gravity for Analysis with the assistance of the DCO. When the urine *Sample* does not meet the requirement for Suitable Specific Gravity for Analysis, the DCO shall provide instructions to the *Athlete* to follow the appropriate procedures in accordance with Annex F - Urine *Samples* that do not meet the requirement for Suitable Specific Gravity for Analysis.
- K.4.21** The *Athlete* shall complete the *Sample* collection documentation with the assistance of the DCO. The *Athlete* and the DCO shall sign appropriate documentation to indicate their satisfaction that the documentation accurately reflects the details of the Sample Collection Session. The DCO shall ensure that the *Athlete* is advised to keep a copy of the *Sample* collection documentation (if in paper form) or that the *Athlete* receives a copy of the *Sample* collection documentation (if in electronic form).
- K.4.22** Upon completion, the DCO shall ask the *Athlete* to pack their *Sample*, all Sample Collection Equipment and documentation and meet the DCO in the initial location where the *Athlete* was notified or an agreed upon location.
- K.4.23** The *Athlete* shall remain on camera until they have concluded the Sample Collection Session, and they meet the DCO in person.
- K.4.24** The DCO, upon receiving the requested equipment and documentation from the *Athlete*, shall conduct a review of all Sample Collection Equipment, supporting devices and documentation, and confirm, in writing, that *Sample* collection documentation and corresponding *Sample(s)* are enclosed.

[Comment to Annex K: A pandemic shall be as declared by the World Health Organization. In addition, an Anti-Doping Organization shall consider implementing the Sample collection in a virtual environment when the national government declares a national epidemic in a certain country or region.]

ANNEX L - MODIFICATIONS FOR TRANSGENDER AND GENDER DIVERSE ATHLETES

L.1 Objective

- L.1.1 To ensure, where possible, that the particular needs of transgender and gender diverse *Athletes* are considered in relation to the provision of a *Sample* without compromising the integrity of the Sample Collection Session.

[Comment to L.1: A transgender Athlete is a person whose gender identity differs from the sex that was assigned at birth. Athletes may also have identities outside the binary gender system and are defined as gender diverse. Gender diverse Athletes who are part of a Whereabouts Pool have the option to identify their gender diversity and their preferred gender of Sample Collection Personnel in ADAMS.]

L.2 Scope

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

L.3 Responsibility

- L.3.1 The Testing Authority has responsibility for ensuring, when possible, that the Sample Collection Authority and/or the DCO has any information necessary to conduct a Sample Collection Session with transgender and/or gender diverse *Athletes*.
- L.3.2 Where *Sample* collection involves transgender and gender diverse *Athletes*, the Sample Collection Authority has the responsibility to appoint Sample Collection Personnel who have undergone gender diversity training prior to the *Sample* collection.
- L.3.3 Where *Sample* collection involves transgender *Athletes*, the Testing Authority and/or the Sample Collection Authority shall assign Sample Collection Personnel of the same gender as the transgender *Athlete*, based on the gender of the *Event* the transgender *Athlete* competes in.
- L.3.4 Where *Sample* collection involves gender diverse *Athletes* and where the gender diverse *Athlete* has not indicated in ADAMS their preferred gender of Sample Collection Personnel, the Testing Authority and/or the Sample Collection Authority should assign, at a minimum, two Sample Collection Personnel of different gender to the Sample Collection Session.

*[Comment to L.3.4: The Testing Authority or Sample Collection Authority should make their best efforts to accommodate the gender diverse Athlete's preferred gender of Sample Collection Personnel however, a failure to provide a *Sample* on the basis that the gender diverse Athlete's preferred gender of Sample Collection Personnel is not available shall be pursued as a potential anti-doping rule violation.]*

L.4 Requirements

- L.4.1 All aspects of notification and *Sample* collection for transgender and gender diverse *Athletes* shall be carried out in accordance with the standard notification and *Sample* collection procedures unless modifications are required.
- L.4.2 The Sample Collection Authority and the DCO shall have the authority to make modifications as the situation requires as long as such modifications will not compromise

- the integrity, identity and security of the *Sample*. All such modifications shall be documented.
- L.4.3** The transgender *Athlete* should be notified by a Sample Collection Personnel of the same gender as the transgender *Athlete*, based on the gender of the *Event* the transgender *Athlete* competes in.
 - L.4.4** The DCO/Chaperone who witnesses the passing of the *Sample* shall be of the same gender as the transgender *Athlete* providing the *Sample* and based on the gender of the *Event* the transgender *Athlete* competes in.
 - L.4.5** Once the gender diverse *Athlete* is informed of the requirements of the Sample Collection Session and upon arrival at the Doping Control Station, they shall be given the option to declare their gender diversity and the preferred gender of Sample Collection Personnel who will witness the passing of the *Sample*.
 - L.4.6** For the purpose of *Sample* analysis and in the absence of a sport gender of the *Athlete*, the DCO shall record the 'male' sport gender in relation to the Sample Collection Session to indicate to the Laboratory that the *Sample* shall be analyzed for all *Prohibited Substances* including those prohibited in males only.