International Convention Against Doping in Sport

FINAL DRAFT
Preamble

The General Conference of the United Nations Educational, Scientific and Cultural Organisation hereinafter referred to as UNESCO, meeting in […] from […] to […] at its […] session;

Considering that the aim of UNESCO is to contribute to peace and security by promoting collaboration among the nations through education, science and culture;

Referring to the existing international instruments relating to human rights;

Aware of the Resolution 58/5 adopted by the General Assembly of the United Nations on 3 November 2003, concerning sport as a means to promote education, health, development and peace, notably its paragraph 7;

Conscious that sport should play an important role in the protection of health, in moral, cultural and physical education and in promoting international understanding and peace;

Noting the need to encourage and coordinate international cooperation toward the elimination of doping in sport;

Concerned by the use of doping by athletes in sport and the consequences thereof for their health, the principle of fair play, the elimination of cheating and the future of sport;

Mindful that doping puts at risk the ethical principles and educational values embodied in the International Charter of Physical Education and Sport of UNESCO and in the Olympic Charter;

Recalling that the Anti-Doping Convention and its Additional Protocol adopted within the framework of the Council of Europe are the public international law tools, which are at the origin of national anti-doping policies and of intergovernmental cooperation;

Recalling the Recommendations on doping adopted by the 2nd, 3rd and 4th International Conferences of Ministers and Senior Officials responsible for Physical Education and Sport organised by UNESCO at Moscow (1988), at Punta del Este (1999) and Athens (2004) and of Resolution 32 C/9 adopted by UNESCO General Conference at its 32nd session (2003);

Bearing in mind the World Anti-Doping Code adopted by the World Anti-Doping Agency at the World Conference on Doping in Sport, Copenhagen, 5 March 2003 and the Copenhagen Declaration on Anti-Doping in Sport;

Mindful also of the influence that elite athletes have on youth;

Aware of the ongoing need to conduct and promote research with the objectives of improving detection of doping and better understanding the factors affecting use in order for prevention strategies to be most effective;
Aware also of the importance of ongoing education of athletes, athlete support personnel and the community at large in preventing doping;

Mindful of the need to build the capacity of States Parties to implement anti-doping programs;

Aware that public authorities and the organisations responsible for sport have complementary responsibilities to prevent and combat doping in sport, notably to ensure the proper conduct, on the basis of the principle of fair play, of sports events and to protect the health of those that take part in them;

Recognising that these authorities and organisations must work together for these purposes ensuring the highest degree of independence and transparency at all appropriate levels;

Determined to take further and stronger cooperative action aimed at the elimination of doping in sport;

Recognising that the elimination of doping in sport is dependent in part upon progressive harmonisation of anti-doping standards and practices in sport and cooperation at the national and global level;

Adopts this Convention on this […] day of 200x.
Part I: Scope

Article 1 – Purpose of the Convention

The purpose of this Convention, within the framework of the strategy and programme of activities of UNESCO in the area of physical education and sport, is to promote the prevention of and the fight against doping in sport, with a view to its elimination.

Article 2 – Definitions

These definitions are to be understood within the context of the World Anti-Doping Code. However in case of conflict the provisions of the Convention will prevail.

For the purposes of this Convention:


2. “Anti-Doping Organisation” means an entity 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 organisations that conduct testing at their events, the World Anti-Doping Agency, international federations, and national anti-doping organisations.

3. “Anti-doping rule violation” in sport means one or more of the following:
   a. The presence of a prohibited substance or its metabolites or markers in an athlete’s bodily specimen;
   b. Use or attempted use of a prohibited substance or a prohibited method;
   c. Refusing, or failing without compelling justification, to submit to sample collection after notification as authorised in applicable anti-doping rules or otherwise evading sample collection;
   d. Violation of applicable requirements regarding athlete availability for out-of-competition testing including failure to provide required whereabouts information and missed tests which are declared based on reasonable rules;
   e. Tampering, or attempting to tamper, with any part of doping control;
   f. Possession of prohibited substances and methods;
   g. Trafficking in any prohibited substance or prohibited method;
   h. Administration or attempted administration of a prohibited substance or prohibited method to any athlete, or assisting, encouraging, aiding, abetting, covering up or any other type of complicity involving an anti-doping rule violation or any attempted violation.
4. “Athlete” means, for the purposes of doping control, any person who participates in sport at the international or national level as defined by each national anti-doping organisation and accepted by States Parties and any additional person who participates in a sport or event at a lower level accepted by States Parties. For the purposes of education and training programmes, “athlete” means any person who participates in sport under the authority of a sport organisation.

5. “Athlete support personnel” means any coach, trainer, manager, agent, team staff, official, medical or para-medical personnel working with or treating athletes participating in or preparing for sports competition.


7. “Competition” means a single race, match, game or singular athletic contest.

8. “Doping control” means the process including test distribution planning, sample collection and handling, laboratory analysis, results management, hearings and appeals.


10. “Duly authorised doping control teams” means doping control teams operating under the authority of international or national anti-doping organisations.

11. “In-competition” testing means, for purposes of differentiating between in-competition and out-of-competition testing, unless provided otherwise in the rules of an International Federation or other relevant anti-doping organisation, a test where an athlete is selected for testing in connection with a specific competition.

12. “International Standard for Laboratories” means the standard which is attached as Appendix 2 to this Convention.

13. “International Standard for Testing” means the standard which is attached as Appendix 3 to this Convention.

14. “No advance notice” means a doping control which takes place with no advance warning to the athlete and where the athlete is continuously chaperoned from the moment of notification through sample provision.

15. “Olympic Movement” means all those who agree to be guided by the Olympic Charter and who recognise the authority of the International Olympic Committee, namely: the International Federations of sports on the programme of the Olympic Games; the National Olympic Committees, the Organising Committees of the Olympic Games, athletes, judges and referees, associations and clubs, as well as all the organisations and institutions recognised by the International Olympic Committee.
16. “Out-of-competition” doping control means any doping control which is not conducted in-competition.

17. “Prohibited List” means the list which appears in Annex 1 to this Convention identifying the prohibited substances and prohibited methods.

18. “Prohibited method” means any method so described on the Prohibited List, which appears in Annex 1 to this Convention.

19. “Prohibited substance” means any substance so described on the Prohibited List, which appears in Annex 1 to this Convention.

20. “Sports organisation” means any organisation that serves as the ruling body for an event for one or several sports.


22. “Testing” means the parts of the doping control process involving test distribution planning, sample collection, sample handling, and sample transport to the laboratory.

23. “Therapeutic use exemption” means an exemption granted in accordance with Standards for Granting Therapeutic Use Exemptions.

24. “Use” means the application; ingestion, injection or consumption by any means whatsoever of any prohibited substance or prohibited method.


Article 3 – Means to achieve the purpose of the Convention

In order to achieve the purpose of the Convention, States Parties undertake to:

1. adopt appropriate measures at the national and international level which are consistent with the principles of the Code;

2. encourage all forms of international cooperation aimed at protecting athletes, ethics in sport, and sharing the results of research;

3. foster international cooperation between States Parties and leading organisations in the fight against doping in sport, in particular with WADA.
Article 4 – Relationship of the Convention to the Code

1. In order to coordinate the implementation, at the national and international level, of the fight against doping in sport, the States Parties commit themselves to the principles of the Code, as the basis for the measures provided for in Article 5 of this Convention. Nothing in this Convention prevents the States Parties from adopting additional measures complementary to the Code.

2. The Code and the most current version of Appendices 2 and 3 are reproduced for information purposes, and are not an integral part of this Convention. The Appendices as such do not create any binding obligations under international law for States Parties.

3. The Annexes are an integral part of this Convention.

Article 5 – Measures to achieve the objectives of the Convention

In abiding by the obligations contained in this Convention, each State Party undertakes to adopt appropriate measures. Such measures may include legislation, regulation, policies or administrative practices.

Article 6 – Relationship to other international instruments

This Convention shall not alter the rights and obligations of States Parties which arise from other agreements previously concluded and consistent with the object and purpose of this Convention. This does not affect the enjoyment by other States Parties of their rights or the performance of their obligations under this Convention.

Part II: Anti-Doping Activities at the National Level

Article 7 – Domestic coordination

States Parties shall ensure the application of the present Convention, notably through domestic coordination. To meet their obligations under this Convention, States Parties may rely on anti-doping organisations as well as sport authorities and organisations.

Article 8 – Restricting the availability and use in sport of prohibited substances and methods

1. States Parties shall, where appropriate, adopt measures to restrict the availability of prohibited substances and methods in order to restrict their use in sport by athletes, unless the use is based upon a therapeutic use exemption. These include measures against
trafficking to athletes, and to this end, measures to control production, movement, importation, distribution and sale.

2. States Parties shall adopt, or encourage, where appropriate, the relevant entities within their jurisdictions to adopt, measures to prevent and to restrict the use and possession of prohibited substances and methods by athletes in sport unless the use is based upon a therapeutic use exemption.

3. No measures taken pursuant to this Convention will impede the availability for legitimate purposes, of substances and methods otherwise prohibited or controlled in sport.

*Article 9 – Measures against athlete support personnel*

States Parties shall themselves take measures or encourage sport organisations and anti-doping organisations to adopt measures, including sanctions or penalties, aimed at athlete support personnel who commit an anti-doping rule violation or other offence connected with doping in sport.

*Article 10 – Nutritional supplements*

States Parties, where appropriate, shall encourage producers and distributors of nutritional supplements to establish best practices in the marketing and distribution of nutritional supplements, including information regarding their analytic composition and quality assurance.

*Article 11 – Financial measures*

States Parties shall, where appropriate:

a. provide funding within their respective budgets to support a national testing program across all sports or assist sports organisations and anti-doping organisations to finance doping controls either by direct subsidies or grants, or by recognising the costs of such controls when determining the overall subsidies or grants to be awarded to those organisations;

b. take steps to withhold sport-related financial support to individual athletes or athlete support personnel who have been suspended following an anti-doping rule violation, during the period of their suspension;

c. withhold some or all financial or other sport-related support from any sports organisation or anti-doping organisation not in compliance with the Code or applicable anti-doping rules adopted pursuant to the Code.
Article 12 – Measures to facilitate doping control

States Parties shall, where appropriate:

a. encourage and facilitate the sports organisations and anti-doping organisations within their jurisdiction to carry out the doping controls in a manner consistent with the Code including no-advance notice, out-of-competition and in-competition testing;

b. encourage and facilitate the negotiation by sports organisations and anti-doping organisations of agreements permitting their members to be tested by duly authorised doping control teams from other countries;

c. undertake to assist the sports organisations and anti-doping organisations within their jurisdiction to gain access to an accredited doping control laboratory for the purposes of doping control analysis.

Part III: International Cooperation

Article 13 – Cooperation between anti-doping organisations and sports organisations

States Parties shall encourage co-operation between anti-doping organisations, public authorities, and sports organisations within their jurisdiction and those within the jurisdiction of other States Parties, in order to achieve, at the international level, the purposes of this Convention.

Article 14 – Supporting the mission of WADA

States Parties undertake to support the important mission of WADA in the international fight against doping.

Article 15 – Equal funding of WADA

The States Parties support the principle of equal funding of the approved WADA annual core budget by public authorities and the Olympic Movement.

Article 16 – International cooperation in doping control

Recognising that the fight against doping in sport can only be effective when athletes can be tested with no advance notice and samples can be transported in a timely manner to laboratories for analysis, States Parties shall, where appropriate and in accordance with domestic law and procedures:
a. facilitate the task of WADA and anti-doping organisations operating in compliance with the Code, subject to relevant host countries’ regulations, to conduct in or out of competition doping controls on their athletes, whether on their territory or elsewhere;

b. facilitate the timely movement of duly authorised doping control teams across borders when conducting doping control activities;

c. cooperate to expedite the timely shipping or carrying across borders of samples in such a way as to maintain their security and integrity;

d. assist in the international coordination of doping controls by various anti-doping organisations, and cooperate to this end with WADA;

e. promote co-operation between doping control laboratories within their jurisdiction and those within the jurisdiction of other States Parties. In particular, States Parties with accredited doping control laboratories should encourage laboratories within their jurisdiction to assist other States Parties in enabling them to acquire the experience, skills and techniques necessary to establish their own laboratories should they wish to do so;

f. encourage and support reciprocal testing arrangements between designated anti-doping organisations, in conformity with the Code;

g. mutually recognise the doping control procedures and test results management, including the sport sanctions thereof, of any anti-doping organisation that are consistent with the Code.

Article 17 – Voluntary Fund

1. A “Fund for the Elimination of Doping in Sport”, hereinafter referred to as “the Voluntary Fund”, is hereby established. The Voluntary Fund shall consist of funds-in-trust established in accordance with the Financial Regulations of UNESCO. All contributions by States Parties and other actors shall be voluntary.

2. The resources of the Voluntary Fund shall consist of:

   a. contributions made by States Parties;

   b. contributions, gifts or bequests which may be made by:

      i. Other States;

      ii. Organisations and programs of the United Nations system, particularly the United Nations Development Program, as well as other international organisations; or

      iii. Public or private bodies or individuals;
c. any interest due on the resources of the Voluntary Fund;

d. funds raised through collections, and receipts from events organised for the benefit of the Voluntary Fund;

e. any other resources authorised by the Voluntary Fund’s regulations, to be drawn up by the Conference of Parties.

3. Contributions into the Voluntary Fund by States Parties shall not be considered as a replacement for States Parties’ commitment to pay their share of the WADA annual budget.

Article 18 – Use and governance of the Voluntary Fund

Resources in the Voluntary Fund shall be allocated by the Conference of Parties for the financing of activities approved by it notably to assist States Parties to develop and implement anti-doping programs, in accordance with the provisions of this Convention, taking into consideration the goals of WADA and may serve to cover functioning costs of this Convention. No political, economic or other conditions may be attached to contributions made to the Voluntary Fund.

Part IV: Education and Training

Article 19 – General education and training principles

1. States Parties shall undertake, within their means, to support, devise or implement education and training programs on anti-doping. For the sporting community in general, these programs should aim to provide updated and accurate information on:

a. the harm of doping to the ethical values of sport;

b. the health consequences of doping.

2. For athletes and athlete support personnel, in particular in their initial training, education and training programs should, in addition to the above, aim to provide updated and accurate information on:

a. doping control procedures;

b. athletes’ rights and responsibilities in regard to anti-doping, including information about the Code and the anti-doping policies of the relevant sports and anti-doping organisations. Such information shall include the consequences of committing an anti-doping rule violation;

c. the list of prohibited substances and methods and therapeutic use exemptions;
Article 20 – Professional Codes of Conduct

States Parties shall encourage relevant competent professional associations and institutions to develop and implement appropriate codes of conduct, good practice and ethics related to anti-doping in sport that are consistent with the Code.

Article 21 – Involvement of athletes and athlete support personnel

States Parties shall promote and, within their means, support active participation by athletes and athlete support personnel in all facets of the anti-doping work of sports and other relevant organisations and encourage sports organisations within their jurisdiction to do likewise.

Article 22 – Sports organisations and ongoing education and training on anti-doping

States Parties shall encourage sports organisations and anti-doping organisations to implement ongoing education and training programs for all athletes and athlete support personnel on the subjects identified in Article 19 above.

Article 23 – Cooperation in Education and Training

States Parties shall co-operate mutually and with the relevant organisations to share, where appropriate, information, expertise and experience on effective anti-doping programs.

Part V: Research

Article 24 – Promotion of research in anti-doping

States Parties undertake, within their means, to encourage and promote anti-doping research in cooperation with sports and other relevant organisations on:

a. prevention, detection methods, behavioural and social aspects, and health consequences of doping;

b. ways and means of devising scientifically-based physiological and psychological training programs respectful of the integrity of the person;

c. the use of all emerging substances and methods resulting from scientific developments.
Article 25 – Nature of anti-doping research

When promoting anti-doping research, as set out in Article 24 above, States Parties shall ensure that such research will:

a. comply with internationally recognised ethical practices;

b. avoid the administration to athletes of prohibited substances and methods;

c. be undertaken only with adequate precautions in place to prevent the results of anti-doping research being misused and applied for doping.

Article 26 – Sharing the results of anti-doping research

Subject to compliance with applicable national and international law, States Parties shall, where appropriate, share the results of available anti-doping research with other States Parties and WADA.

Article 27 – Sports science research

States Parties shall encourage:

a. members of the scientific and medical communities to carry out sport science research in accordance with the principles of the Code;

b. sports organisations and athlete support personnel within their jurisdiction to implement sport science research that is consistent with the principles of the Code.

Part VI: Monitoring of the Convention

Article 28 – Conference of Parties

1. A Conference of Parties is hereby established. The Conference of Parties is the sovereign body of this Convention.

2. The Conference of Parties shall meet in ordinary session in principle every two years. It may meet in extraordinary session if it so decides or at the request of at least one-third of the States Parties.

3. State Parties shall each have one vote at the Conference of Parties.

**Article 29 – Advisory Organisation and Observers to the Conference of Parties**

WADA shall be invited as an advisory organisation to the Conference of Parties. The International Olympic Committee, the International Paralympic Committee, the Council of Europe, and the Intergovernmental Committee for Physical Education and Sport (CIGEPS) shall be invited as observers. The Conference of Parties may decide to invite other relevant organisations as observers.

**Article 30 – Functions of the Conference of Parties**

1. Besides those set forth in other provisions of this Convention, the functions of the Conference of Parties shall be to:

   a. promote the purpose of this Convention;

   b. discuss the relationship with WADA and study the mechanisms of funding of WADA’s annual core budget. States non-Parties can be invited to the discussion;

   c. adopt a plan for the use of the resources of the Voluntary Fund, in accordance with article 18;

   d. examine the reports submitted by States Parties in accordance with article 31;

   e. examine, on an ongoing basis, the monitoring of compliance with this Convention in response to the development of anti-doping systems, which will be funded from the Voluntary Fund established under Article 17 above; which will be funded from the regular budget of UNESCO;

   f. examine draft amendments to this Convention for adoption;

   g. examine for approval, in accordance with Article 34 of the Convention, modifications to the Prohibited List and to the Standards for Granting Therapeutic Use Exemptions adopted by WADA;

   h. define and implement cooperation between the States Parties and WADA within the framework of this Convention;

   i. request a report from WADA on the implementation of the Code to each of its sessions for examination.
2. The Conference of Parties, in fulfilling its functions, may do so in cooperation with other intergovernmental bodies.

**Article 31 – National reports to the Conference of Parties**

States Parties shall forward every two years to the Conference of Parties through the Secretariat, in one of the official languages of UNESCO, all relevant information concerning measures taken by them for the purpose of complying with the provisions of this Convention.

**Article 32 – Secretariat of the Conference of Parties**

1. The Secretariat of the Conference of Parties shall be provided by the Director-General of UNESCO.

2. At the request of the Conference of Parties the Director-General of UNESCO shall use to the fullest extent possible the services of WADA on terms agreed upon by the Conference of Parties.

3. Functioning costs of the Secretariat and of the Conference of Parties will be funded from the [regular budget of UNESCO] [and/or] [the Voluntary Fund established under Article 17 above.]

4. The Secretariat shall prepare the documentation of the Conference of Parties, as well as the draft agenda of its meetings, and shall ensure the implementation of its decisions.

**Article 33 – Amendments to the Convention**

1. Each State Party may, by written communication addressed to the Director-General of UNESCO, propose amendments to this Convention. The Director-General shall circulate such communication to all States Parties. If, within six months from the date of the circulation of the communication, at least one half of the States Parties give their consent, the Director-General shall present such proposals to the following session of the Conference of Parties.

2. Amendments shall be adopted by the Conference of Parties with a two-thirds majority of States Parties present and voting.

3. Once adopted, amendments to this Convention shall be submitted for ratification, acceptance, approval or accession to the States Parties.
4. With respect to the States Parties that have ratified, accepted, approved or acceded to them, amendments to this Convention shall enter into force three months after the deposit of the instruments referred to in paragraph 3 of this Article by two-thirds of the States Parties. Thereafter, for each State Party that ratifies, accepts, approves or accedes to an amendment, the said amendment shall enter into force three months after the date of deposit by that State Party of its instrument of ratification, acceptance, approval or accession.

5. A State that becomes a Party to this Convention after the entry into force of amendments in conformity with paragraph 4 of this Article shall, failing an expression of different intention, be considered:
   a. a Party to this Convention as so amended;
   b. a Party to the unamended Convention in relation to any State Party not bound by the amendments.

Article 34 – Specific amendment procedure for the Annexes to the Convention

1. If WADA modifies the Prohibited List or the Standards for Granting Therapeutic Use Exemptions, it may, by written communication addressed to the Director-General of UNESCO, inform her/him of those changes. The Director-General shall notify such changes as proposed amendments to the relevant Annexes to this Convention to all States Parties expeditiously. Amendments to the Annexes shall be approved by the Conference of Parties either at one of its sessions or through a written consultation.

2. States Parties have 45 days from the Director-General’s notification within which to express their objection to the proposed amendment either in writing, in case of written consultation, to the Director-General or at a session of the Conference of Parties. Unless two-thirds of the States Parties express their objection, the proposed amendment shall be deemed to be approved by the Conference of Parties.

3. Amendments approved by the Conference of Parties shall be notified to the States Parties by the Director-General. They shall enter into force 45 days after that notification, except for any State Party that has previously notified the Director-General that it does not accept these amendments.

4. A State Party having notified the Director-General that it does not accept an amendment approved according to the preceding paragraphs remains bound by the Annexes as not amended.
Part VII: Final Clauses

Article 35 – Federal or non-unitary constitutional systems

The following provisions shall apply to States Parties that have a federal or non-unitary constitutional system:

a. With regard to the provisions of this Convention, the implementation of which comes under the legal jurisdiction of the federal or central legislative power, the obligations of the federal or central government shall be the same as for those States Parties which are not federal States.

b. With regard to the provisions of this Convention, the implementation of which comes under the jurisdiction of individual constituent States, countries, provinces or cantons which are not obliged by the constitutional system of the federation to take legislative measures, the federal government shall inform the competent authorities of such States, countries, provinces or cantons of the said provisions, with its recommendation for their adoption.

Article 36 – Ratification, acceptance, approval or accession

This Convention shall be subject to ratification, acceptance, approval or accession by Member States of UNESCO in accordance with their respective constitutional procedures. The instruments of ratification, acceptance, approval or accession shall be deposited with the Director-General of UNESCO.

Article 37 – Entry into force

1. This Convention shall enter into force on the first day of the month following the expiration of a period of one month after the deposit of the thirtieth instrument of ratification, acceptance, approval or accession.

2. For any State that subsequently expresses its consent to be bound by it, this Convention shall enter into force on the first day of the month following the expiration of a period of one month after the deposit of its instrument of ratification, acceptance, approval or accession.

Article 38 – Territorial extension of the Convention

1. Any State may, when depositing its instrument of ratification, acceptance, approval or accession, specify the territory or territories for whose international relations it is responsible and to which this Convention shall apply.
2. Any State Party may, at any later date, by a declaration addressed to UNESCO, extend the application of this Convention to any other territory specified in the declaration. In respect of such territory the Convention shall enter into force on the first day following the expiration of a period of one month after the date of receipt of such a declaration by the depositary.

3. Any declaration made under the two preceding paragraphs may, in respect of any territory mentioned in such declaration, be withdrawn by a notification addressed to UNESCO. Such withdrawal shall become effective on the first day following the expiration of a period of one month after the date of receipt of such a notification by the depositary.

Article 39 – Denunciation

Each State Party may denounce this Convention. The denunciation shall be notified by an instrument in writing, deposited with the Director-General of UNESCO. The denunciation shall take effect on the first day of the month following the expiration of a period of six months after the receipt of the instrument of denunciation. It shall in no way affect the financial obligations of the concerned State Party until the date on which the withdrawal takes effect.

Article 40 – Depositary

The Director-General of UNESCO shall be the Depositary of this Convention and amendments thereto. As the Depositary, the Director-General of UNESCO shall inform the States Parties of this Convention, as well as the other Member States of the Organisation of:

a. the deposit of any instrument of ratification, acceptance, approval or accession;
b. the date of entry into force of this Convention in accordance with Article 37 above;
c. any report prepared in pursuance of the provisions of Article 31 above;
d. any amendment to the Convention or to the Annexes adopted in accordance with Articles 33 and 34 above and the date on which the amendment comes into force;
e. any declaration or notification made under the provisions of Article 38 above;
f. any notification made under the provisions of Article 39 above and the date on which the denunciation takes effect;
g. any other act, notification or communication relating to this Convention.
Article 41 – Registration

In conformity with Article 102 of the Charter of the United Nations, this Convention shall be registered with the Secretariat of the United Nations at the request of the Director-General of UNESCO.

Article 42 – Authoritative texts

1. This Convention including its Annexes has been drawn up in Arabic, Chinese, English, French, Russian and Spanish, the six texts being equally authoritative.

2. The Appendices to this Convention are drawn up in Arabic, Chinese, English, French, Russian and Spanish.

Article 43 – Reservations

No reservations that are incompatible with the object and purpose of the present Convention shall be permitted.

Done in Paris, this…… day of….. 200.., in two authentic copies bearing the signature of the President of the General Conference of UNESCO at its …. session and of the Director-General of UNESCO, which shall be deposited in the archives of UNESCO.
Annexes

1. The Prohibited List - International Standard
2. Standards for Granting Therapeutic Use Exemptions

Appendices

1. World Anti-Doping Code
2. International Standard for Laboratories
3. International Standard for Testing
The official text of the Prohibited List shall be maintained by WADA and shall be published in English and French. In the event of any conflict between the English and French versions, the English version shall prevail.

This List shall come into effect on 1 January 2005.
THE 2005 PROHIBITED LIST
WORLD ANTI-DOPING CODE

Valid 1 January 2005

The use of any drug should be limited to medically justified indications

SUBSTANCES AND METHODS PROHIBITED AT ALL TIMES
(IN- AND OUT-OF-COMPETITION)

PROHIBITED SUBSTANCES

S1. ANABOLIC AGENTS

Anabolic agents are prohibited.

1. Anabolic Androgenic Steroids (AAS)

a. Exogenous* AAS, including:

18α-homo-17β-hydroxyestr-4-en-3-one; bolasterone; boldenone; boldione; calusterone; clostebol; danazol; dehydrochloromethyl-testosterone; delta1-androstene-3,17-dione; delta1-androstenediol; delta1-dihydro-testosterone; drostanolone; ethylestrenol; fluoxymesterone; formebolone; furazabol; gestrinone; 4-hydroxytestosterone; 4-hydroxy-19-nortestosterone; mestanolone; mesterolone; metenolone; methandienone; methandriol; methylidenolone; methyltrienolone; methylestosterone; mibolerone; nandrolone; 19-norandrostenediol; 19-norandrostenedione; norbolethone; norclostebol; norethandrolone; oxabolone; oxandrolone; oxymesterone; oxymetholone; quinbolone; stanozolol; stenbolone; tetrahydrogestrinone; trenbolone and other substances with a similar chemical structure or similar biological effect(s).

b. Endogenous** AAS:

androstenediol (androst-5-ene-3β,17β-diol); androstenedione (androst-4-ene-3,17-dione); dehydroepiandrosterone (DHEA); dihydrotestosterone; testosterone.
and the following metabolites and isomers:

- $5\alpha$-androstane-$3\alpha,17\alpha$-dial; $5\alpha$-androstane-$3\alpha,17\beta$-dial; $5\alpha$-androstane-$3\beta,17\alpha$-dial; $5\alpha$-androstane-$3\alpha,17\alpha$-dial; androst-$4\text{-ene-}3\alpha,17\alpha$-dial; androst-$4\text{-ene-}3\beta,17\alpha$-dial; androst-5-ene-$3\alpha,17\alpha$-dial; androst-5-ene-$3\alpha,17\beta$-dial; androst-5-ene-$3\beta,17\alpha$-dial; androstenediol (androst-$4\text{-ene-}3\beta,17\beta$-dial); 5-androstenedione (androst-$5\text{-ene-}3,17$-dione); epi-dihydrotestosterone; $3\alpha$-hydroxy-$5\alpha$-androstan-17-one; $3\beta$-hydroxy-$5\alpha$-androstan-17-one; 19-norandrostosterone; 19-noretiocholanolone.

Where a Prohibited Substance (as listed above) is capable of being produced by the body naturally, a Sample will be deemed to contain such Prohibited Substance where the concentration of the Prohibited Substance or its metabolites or markers and/or any other relevant ratio(s) in the Athlete’s Sample so deviates from the range of values normally found in humans that it is unlikely to be consistent with normal endogenous production. A Sample shall not be deemed to contain a Prohibited Substance in any such case where the Athlete proves by evidence that the concentration of the Prohibited Substance or its metabolites or markers and/or the relevant ratio(s) in the Athlete’s Sample is attributable to a physiological or pathological condition. In all cases, and at any concentration, the laboratory will report an Adverse Analytical Finding if, based on any reliable analytical method, it can show that the Prohibited Substance is of exogenous origin.

If the laboratory result is not conclusive and no concentration as referred to in the above paragraph is found, the relevant Anti-Doping Organization shall conduct a further investigation if there are serious indications, such as a comparison to reference steroid profiles, for a possible Use of a Prohibited Substance.

If the laboratory has reported the presence of a T/E ratio greater than four (4) to one (1) in the urine, further investigation is obligatory in order to determine whether the ratio is due to a physiological or pathological condition, except if the laboratory reports an Adverse Analytical Finding based on any reliable analytical method, showing that the Prohibited Substance is of exogenous origin.

In case of an investigation, it will include a review of any previous and/or subsequent tests. If previous tests are not available, the Athlete shall be tested unannounced at least three times within a three month period.

Should an Athlete fail to cooperate in the investigations, the Athlete’s Sample shall be deemed to contain a Prohibited Substance.
2. **Other Anabolic Agents, including but not limited to:**

Clenbuterol, zeranol, zilpaterol.

*For purposes of this section:*

* “exogenous” refers to a substance which is not capable of being produced by the body naturally.

** “endogenous” refers to a substance which is capable of being produced by the body naturally.

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**S2. HORMONES AND RELATED SUBSTANCES**

The following substances, including other substances with a similar chemical structure or similar biological effect(s), and their releasing factors, are prohibited:

1. Erythropoietin (EPO);
2. Growth Hormone (hGH), Insulin-like Growth Factor (IGF-1),
   - Mechano Growth Factors (MGFs);
3. Gonadotrophins (LH, hCG);
4. Insulin;
5. Corticotrophins.

Unless the *Athlete* can demonstrate that the concentration was due to a physiological or pathological condition, a *Sample* will be deemed to contain a *Prohibited Substance* (as listed above) where the concentration of the *Prohibited Substance* or its metabolites and/or relevant ratios or markers in the *Athlete’s Sample* so exceeds the range of values normally found in humans so that it is unlikely to be consistent with normal endogenous production.

The presence of other substances with a similar chemical structure or similar biological effect(s), diagnostic marker(s) or releasing factors of a hormone listed above or of any other finding which indicate(s) that the substance detected is of exogenous origin, will be reported as an *Adverse Analytical Finding*.

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**S3. BETA-2 AGONISTS**

All beta-2 agonists including their D- and L-isomers are prohibited. Their use requires a Therapeutic Use Exemption.

As an exception, formoterol, salbutamol, salmeterol and terbutaline, when administered by inhalation to prevent and/or treat asthma and exercise-induced asthma/broncho-constriction require an abbreviated Therapeutic Use Exemption.
Despite the granting of a Therapeutic Use Exemption, when the Laboratory has reported a concentration of salbutamol (free plus glucuronide) greater than 1000 ng/mL, this will be considered as an Adverse Analytical Finding unless the athlete proves that the abnormal result was the consequence of the therapeutic use of inhaled salbutamol.

**S4. AGENTS WITH ANTI-ESTROGENIC ACTIVITY**

The following classes of anti-estrogenic substances are prohibited:

1. Aromatase inhibitors including, but not limited to, anastrozole, letrozole, aminogluthetimide, exemestane, formestane, testolactone.

2. Selective Estrogen Receptor Modulators (SERMs) including, but not limited to, raloxifene, tamoxifen, toremifene.

3. Other anti-estrogenic substances including, but not limited to, clomiphene, cyclofenil, fulvestrant.

**S5. DIURETICS AND OTHER MASKING AGENTS**

Diuretics and other masking agents are prohibited.

Masking agents include but are not limited to:

**Diuretics**, epitestosterone, probenecid, alpha-reductase inhibitors (e.g. finasteride, dutasteride), plasma expanders (e.g. albumin, dextran, hydroxyethyl starch).

Diuretics include:

acetazolamide, amiloride, bumetanide, canrenone, chlortalidone, etacrynic acid, furosemide, indapamide, metolazone, spironolactone, thiazides (e.g. bendroflumethiazide, chlorothiazide, hydrochlorothiazide), triamterene, and other substances with a similar chemical structure or similar biological effect(s).

* A Therapeutic Use Exemption is not valid if an Athlete's urine contains a diuretic in association with threshold or sub-threshold levels of a Prohibited Substance(s).
PROHIBITED METHODS

M1. ENHANCEMENT OF OXYGEN TRANSFER

The following are prohibited:

a. Blood doping, including the use of autologous, homologous or heterologous blood or red blood cell products of any origin, other than for medical treatment.

b. Artificially enhancing the uptake, transport or delivery of oxygen, including but not limited to perfluorochemicals, efaproxiral (RSR13) and modified haemoglobin products (e.g. haemoglobin-based blood substitutes, microencapsulated haemoglobin products).

M2. CHEMICAL AND PHYSICAL MANIPULATION

The following is prohibited:

Tampering, or attempting to tamper, in order to alter the integrity and validity of Samples collected in Doping Controls.

These include but are not limited to intravenous infusions*, catheterisation, and urine substitution.

* Except as a legitimate acute medical treatment, intravenous infusions are prohibited.

M3. GENE DOPING

The non-therapeutic use of cells, genes, genetic elements, or of the modulation of gene expression, having the capacity to enhance athletic performance, is prohibited.
In addition to the categories S1 to S5 and M1 to M3 defined above, the following categories are prohibited in competition:

PROHIBITED SUBSTANCES

S6. STIMULANTS

The following stimulants are prohibited, including both their optical (D- and L-) isomers where relevant:

Adrafinil, amfepramone, amiphenazole, amphetamine, amphetaminil, benzphetamine, bromantan, carphedon, cathine*, clobenzorex, cocaine, dimethylamphetamine, ephedrine**, etilamphetamine, etilefrine, famprofazone, fencamfamin, fencamine, fenetylline, fenfluramine, fenproporex, furfenorex, mfenorex, mephentermine, mesocarb, methamphetamine, methylamphetamine, methylenedioxymethamphetamine, methylenedioxymethylamphetamine, methylephedrine**, methylphenidate, modafinil, nikethamide, norfenfluramine, parahydroxyamphetamine, pemoline, phendimetrazine, phenmetrazine, phentermine, prolintane, selegiline, strychnine, and other substances with a similar chemical structure or similar biological effect(s)***.

* Cathine is prohibited when its concentration in urine is greater than 5 micrograms per milliliter.
** Each of ephedrine and methylephedrine is prohibited when its concentration in urine is greater than 10 micrograms per milliliter.
*** The substances included in the 2005 Monitoring Program (bupropion, caffeine, phenylephrine, phenylpropanolamine, pipradrol, pseudoephedrine, synephrine) are not considered as Prohibited Substances.

NOTE: Adrenaline associated with local anaesthetic agents or by local administration (e.g. nasal, ophthalmologic) is not prohibited.
S7. NARCOTICS

The following narcotics are prohibited:

buprenorphine, dextromoramide, diamorphine (heroin), fentanyl and its derivatives, hydromorphone, methadone, morphine, oxycodone, oxymorphine, pentazocine, pethidine.

S8. CANNABINOIDS

Cannabinoids (e.g. hashish, marijuana) are prohibited.

S9. GLUCOCORTICOSTEROIDS

All glucocorticosteroids are prohibited when administered orally, rectally, intravenously or intramuscularly. Their use requires a Therapeutic Use Exemption approval.

All other routes of administration require an abbreviated Therapeutic Use Exemption.

Dermatological preparations are not prohibited.
P1. ALCOHOL

Alcohol (ethanol) is prohibited *in-Competition* only, in the following sports. Detection will be conducted by analysis of breath and/or blood. The doping violation threshold for each Federation is reported in parenthesis.

- Aeronautic (FAI) (0.20 g/L)
- Archery (FITA) (0.10 g/L)
- Automobile (FIA) (0.10 g/L)
- Billiards (WCBS) (0.20 g/L)
- Boules (CMSB) (0.10 g/L)
- Karate (WKF) (0.10 g/L)
- Modern Pentathlon (UIPM) (0.10 g/L)

**Note:** For disciplines involving shooting

- Motorcycling (FIM) (0.00 g/L)
- Skiing (FIS) (0.10 g/L)

P2. BETA-BLOCKERS

Unless otherwise specified, beta-blockers are prohibited *in-Competition* only, in the following sports.

- Aeronautic (FAI)
- Archery (FITA) (also prohibited *out-of-competition*)
- Automobile (FIA)
- Billiards (WCBS)
- Bobsleigh (FIBT)
- Boules (CMSB)
- Bridge (FMB)
- Chess (FIDE)
- Curling (WCF)
- Gymnastics (FIG)
- Motorcycling (FIM)
- Modern Pentathlon (UIPM) for disciplines involving shooting
- Nine-pin bowling (FIQ)
- Sailing (ISAF) for match race helms only
- Shooting (ISSF) (also prohibited *out-of-competition*)
- Skiing (FIS) in ski jumping & free style snow board
- Swimming (FINA) in diving & synchronised swimming
- Wrestling (FILA)

Beta-blockers include, but are not limited to, the following:

*acebutolol, alprenolol, atenolol, betaxolol, bisoprolol, bunolol, carteolol, carvedilol, celiprolol, esmolol, labetalol, levobunolol, metipranolol, metoprolol, nadolol, oxprenolol, pindolol, propranolol, sotalol, timolol.*
"Specified Substances"* are listed below:

Ephedrine, L-methyamphetamine, methylephedrine;
Cannabinoids;
All inhaled Beta-2 Agonists, except clenbuterol;
Probenecid;
All Glucocorticosteroids;
All Beta Blockers;
Alcohol.

* "The Prohibited List may identify specified substances which are particularly susceptible to unintentional anti-doping rule violations because of their general availability in medicinal products or which are less likely to be successfully abused as doping agents." A doping violation involving such substances may result in a reduced sanction provided that the "...Athlete can establish that the Use of such a specified substance was not intended to enhance sport performance..."
STANDARDS FOR GRANTING THERAPEUTIC USE EXEMPTIONS

Extract from «INTERNATIONAL STANDARD FOR THERAPEUTIC USE EXEMPTIONS» of the World Anti-Doping Agency (WADA); in force January 1st, 2005

4.0 Criteria for Granting a Therapeutic Use Exemption

A Therapeutic Use Exemption (TUE) may be granted to an Athlete permitting the use of a Prohibited Substance or Prohibited Method contained in the Prohibited List. An application for a TUE will be reviewed by a Therapeutic Use Exemption Committee (TUEC). The TUEC will be appointed by an Anti-Doping Organization. An exemption will be granted only in strict accordance with the following criteria:

[Comment: This standard applies to all Athletes as defined by and subject to the Code i.e. able-bodied athletes and athletes with disabilities. This Standard will be applied according to an individual’s circumstances. For example, an exemption that is appropriate for an athlete with a disability may be inappropriate for other athletes.]

4.1 The Athlete should submit an application for a TUE no less than 21 days before participating in an Event.

4.2 The Athlete would experience a significant impairment to health if the Prohibited Substance or Prohibited Method were to be withheld in the course of treating an acute or chronic medical condition.

4.3 The therapeutic use of the Prohibited Substance or Prohibited Method would produce no additional enhancement of performance other than that which might be anticipated by a return to a state of normal health following the treatment of a legitimate medical condition. The use of any Prohibited Substance or Prohibited Method to increase “low-normal” levels of any endogenous hormone is not considered an acceptable therapeutic intervention.

4.4 There is no reasonable therapeutic alternative to the use of the otherwise Prohibited Substance or Prohibited Method.

4.5 The necessity for the use of the otherwise Prohibited Substance or Prohibited Method cannot be a consequence, wholly or in part, of prior non-therapeutic use of any substance from the Prohibited List.

4.6 The TUE will be cancelled by the granting body, if

    a. The Athlete does not promptly comply with any requirements or conditions imposed by the Anti-Doping Organization granting the exemption.
b. The term for which the TUE was granted has expired.

c. The Athlete is advised that the TUE has been withdrawn by the Anti-Doping Organization.

[Comment: Each TUE will have a specified duration as decided upon by the TUEC. There may be cases when a TUE has expired or has been withdrawn and the prohibited substance subject to the TUE is still present in the Athlete’s body. In such cases, the Anti-Doping Organization conducting the initial review of an adverse finding will consider whether the finding is consistent with expiry or withdrawal of the TUE.]

4.7 An application for a TUE will not be considered for retroactive approval except in cases where:

a. Emergency treatment or treatment of an acute medical condition was necessary, or

b. Due to exceptional circumstances, there was insufficient time or opportunity for an applicant to submit, or a TUEC to consider, an application prior to Doping Control.

[Comment: Medical Emergencies or acute medical situations requiring administration of an otherwise Prohibited Substance or Prohibited Method before an application for a TUE can be made, are uncommon. Similarly, circumstances requiring expedited consideration of an application for a TUE due to imminent competition are infrequent. Anti-Doping Organizations granting TUEs should have internal procedures which permit such situations to be addressed.]

5.0. Confidentiality of information

5.1 The applicant must provide written consent for the transmission of all information pertaining to the application to members of the TUEC and, as required, other independent medical or scientific experts, or to all necessary staff involved in the management, review or appeal of TUEs.

Should the assistance of external, independent experts be required, all details of the application will be circulated without identifying the Athlete involved in the Athlete’s care. The applicant must also provide written consent for the decisions of the TUEC to be distributed to other relevant Anti-Doping Organizations under the provisions of the Code.

5.2 The members of the TUECs and the administration of the Anti-Doping Organization involved will conduct all of their activities in strict confidence. All members of a TUEC and all staff involved will sign confidentiality agreements. In particular they will keep the following information confidential:
a. All medical information and data provided by the Athlete and physician(s) involved in the Athlete’s care.

b. All details of the application including the name of the physician(s) involved in the process.

Should the Athlete wish to revoke the right of the TUEC or the WADA TUEC to obtain any health information on his/her behalf, the Athlete must notify his/her medical practitioner in writing of the fact. As a consequence of such a decision, the Athlete will not receive approval for a TUE or renewal of an existing TUE.

6.0 Therapeutic Use Exemption Committees (TUECs)

TUECs shall be constituted and act in accordance with the following guidelines:

6.1 TUECs should include at least three physicians with experience in the care and treatment of Athletes and a sound knowledge of clinical, sports and exercise medicine. In order to ensure a level of independence of decisions, a majority of the members of the TUEC should not have any official responsibility in the Anti-doping organization. All members of a TUEC will sign a conflict of interest agreement. In applications involving Athletes with disabilities, at least one TUEC member must possess specific experience with the care and treatment of Athletes with disabilities.

6.2 TUECs may seek whatever medical or scientific expertise they deem appropriate in reviewing the circumstances of any application for a TUE.

6.3 The WADA TUEC shall be composed following the criteria set out in article 6.1. The WADA TUEC is established to review on its own initiative TUE decisions granted by Anti-Doping Organizations. As specified in article 4.4 of the Code, the WADA TUEC, upon request by Athletes who have been denied TUEs by an Anti-Doping Organization will review such decisions with the power to reverse them.

7.0 Therapeutic Use Exemption (TUE) Application Process

7.1 A TUE will only be considered following the receipt of a completed application form that must include all relevant documents (see appendix 1 – TUE form). The application process must be dealt with in accordance with the principles of strict medical confidentiality.
7.2 The TUE application form(s), as set out in appendix 1, can be modified by Anti-Doping Organizations to include additional requests for information, but no sections or items shall be removed.

7.3 The TUE application form(s) may be translated into other language(s) by Anti-Doping Organizations, but English or French must remain on the application form(s).

7.4 An Athlete may not apply to more than one Anti-Doping Organization for a TUE. The application must identify the Athlete’s sport and, where appropriate, discipline and specific position or role.

7.5 The application must list any previous and/or current requests for permission to use an otherwise Prohibited Substance or Prohibited Method, the body to whom that request was made, and the decision of that body.

7.6 The application must include a comprehensive medical history and the results of all examinations, laboratory investigations and imaging studies relevant to the application.

7.7 Any additional relevant investigations, examinations or imaging studies requested by TUEC of the Anti-Doping Organization will be undertaken at the expense of the applicant or his/her national sport governing body.

7.8 The application must include a statement by an appropriately qualified physician attesting to the necessity of the otherwise Prohibited Substance or Prohibited Method in the treatment of the Athlete and describing why an alternative, permitted medication cannot, or could not, be used in the treatment of this condition.

7.9 The dose, frequency, route and duration of administration of the otherwise Prohibited Substance or Prohibited Method in question must be specified.

7.10 Decisions of the TUEC, should be completed within 30 days of receipt of all relevant documentation and will be conveyed in writing to the Athlete by the relevant Anti-Doping Organization. Where a TUE has been granted to an Athlete in the Anti-Doping Organization Registered Testing Pool, the Athlete and WADA will be provided promptly with an approval which includes information pertaining to the duration of the exemption and any conditions associated with the TUE.

7.11 a. Upon receiving a request by an Athlete for review, as specified in article 4.4. of the Code, the WADA TUEC will, as specified in article 4.4 of the Code, be able to reverse a decision on a TUE granted by an Anti-Doping Organization. The Athlete shall provide to the WADA TUEC all the information for a TUE as submitted initially to the Anti-Doping Organization accompanied by an application fee. Until the review process has been completed, the original decision remains in effect. The process should not take longer than 30 days following receipt of the information by WADA.
b. WADA can undertake a review at any time. The WADA TUEC will complete its review within 30 days.

7.12 If the decision regarding the granting of a TUE is reversed on review, the reversal shall not apply retroactively and shall not disqualify the Athlete's results during the period that the TUE had been granted and shall take effect no later than 14 days following notification of the decision to the Athlete.

8.0 Abbreviated Therapeutic Use Exemption (ATUE) Application Process

8.1 It is acknowledged that some substances included on the List of Prohibited Substances are used to treat medical conditions frequently encountered in the Athlete population. In such cases, a full application as detailed in section 4, and section 7, is unnecessary. Accordingly an abbreviated process of the TUE is established.

8.2 The Prohibited Substances or Prohibited Methods which may be permitted by this abbreviated process are strictly limited to the following: Beta-2 agonists (formoterol, salbutamol, salmeterol and terbutaline) by inhalation, and glucocorticosteroids by non-systemic routes.

8.3 To use one of the substances above, the Athlete shall provide to the Anti-Doping Organization a medical notification justifying the therapeutic necessity. Such medical notification, as contained in Appendix 2, shall describe the diagnosis, name of the drug, dosage, route of administration and duration of the treatment. When applicable any tests undertaken in order to establish the diagnosis should be included (without the actual results or details).

8.4 The abbreviated process includes:

a. Approval for use of Prohibited Substances subject to the abbreviated process is effective upon receipt of a complete notification by the Anti-Doping Organization. Incomplete notifications must be returned to the applicant.

b. On receipt of a complete notification, the Anti-Doping Organization shall promptly advise the Athlete. As appropriate, the Athlete's IF, NF and NADO shall also be advised. The Anti-Doping Organization shall advise WADA only upon receipt of a notification from an International-level Athlete.

c. A notification for an ATUE will not be considered for retroactive approval except:
- In emergency treatment or treatment of an acute medical condition was necessary, or

- Due to exceptional circumstances, there was insufficient time or opportunity for an applicant to submit, or a TUEC to receive, an application prior to Doping Control.

8.5 a. A review by the TUEC or the WADA TUEC can be initiated at any time during the duration of an ATUE.

b. If an Athlete requests a review of a subsequent denial of an ATUE, the WADA TUEC will have the ability to request from the Athlete additional medical information as deemed necessary, the expenses of which should be met by the Athlete.

8.6 An ATUE may be cancelled by the TUEC or WADA TUEC at any time. The Athlete, his/her IF and all relevant Anti-Doping Organizations shall be notified immediately.

8.7 The cancellation shall take effect immediately following notification of the decision to the Athlete. The Athlete will nevertheless be able to apply under section 7 for a TUE.

9.0 Clearinghouse

9.1 Anti-Doping Organizations are required to provide WADA with all TUEs, and all supporting documentation, issued under section 7.

9.2 With respect to ATUEs, Anti-Doping Organizations shall provide WADA with medical applications submitted by International-level Athletes issued under section 8.4.

9.3 The Clearinghouse shall guarantee strict confidentiality of all the medical information.
World Anti-Doping Code

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INTRODUCTION

THE PURPOSE, SCOPE AND ORGANIZATION OF
THE WORLD ANTI-DOPING PROGRAM AND THE CODE

The purposes of the World Anti-Doping Program and the Code are:

• To protect the Athletes’ fundamental right to participate in doping-free sport and thus promote health, fairness and equality for Athletes worldwide; and

• To ensure harmonized, coordinated and effective anti-doping programs at the international and national level with regard to detection, deterrence and prevention of doping.

THE WORLD ANTI-DOPING PROGRAM

The World Anti-Doping Program encompasses all of the elements needed in order to ensure optimal harmonization and best practice in international and national anti-doping programs. The main elements are:

Level 1: The Code

Level 2: International Standards

Level 3: Models of Best Practice

THE CODE

The Code is the fundamental and universal document upon which the World Anti-Doping Program in sport is based. The purpose of the Code is to advance the anti-doping effort through universal harmonization of core anti-doping elements. It is intended to be specific enough to achieve complete harmonization on issues where uniformity is required, yet general enough in other areas to permit flexibility on how agreed upon anti-doping principles are implemented.
**INTERNATIONAL STANDARDS**

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

**MODELS OF BEST PRACTICE**

Models of Best Practice based on the *Code* will be developed to provide state of the art solutions in different areas of anti-doping. The Models will be recommended by WADA and made available to *Signatories* upon request but will not be mandatory. In addition to providing models of anti-doping documentation, WADA will also make some training assistance available to the *Signatories*.

*International Standards Comment.*

*International Standards* will contain much of the technical detail necessary for implementing the *Code*. This would include, for example, the detailed requirements for Sample collection, laboratory analysis and laboratory accreditation currently found in the Olympic Movement Anti-Doping Code 1999 (*OMADC*). *International Standards*, while expressly incorporated into the Code by reference, will, in consultation with the *Signatories* and governments, be developed by experts and set forth in separate technical documents. It is important that the technical experts be able to make timely changes to the *International Standards* without requiring any amendment of the *Code* or individual stakeholder rules and regulations.

All applicable *International Standards* will be in place by January 1, 2004.

*Models of Best Practice Comment.*

WADA will prepare model anti-doping rules and regulations tailored to the needs of each of the major groups of *Signatories* (e.g., International Federations for individual sports).

**FUNDAMENTAL RATIONALE FOR THE WORLD ANTI-DOPING CODE**

Anti-doping programs seek to preserve what is intrinsically valuable about sport. This intrinsic value is often referred to as “the spirit of sport”; it is the essence of Olympism; it is how we play true. The spirit of sport is the celebration of the human spirit, body and mind, and is characterized by the following values:

- Ethics, fair play and honesty.
- Health.
- Excellence in performance.
- Character and education.
- Fun and joy.
- Teamwork.
- Dedication and commitment.
- Respect for rules and laws.
- Respect for self and other participants.
- Courage.
- Community and solidarity.

Doping is fundamentally contrary to the spirit of sport.

*International Federations for team sports, National Anti-Doping Organizations, etc.*. These model rules and regulations will conform with and be based on the *Code*, will be state of the art examples of best practices and will contain all of the detail (including reference to *International Standards*) necessary to conduct an effective anti-doping program.

These model rules and regulations will provide alternatives from which stakeholders may select. Some stakeholders may choose to adopt the model rules and regulations and other models of best practices verbatim. Others may decide to adopt the models with modifications. Still other stakeholders may choose to develop their own rules and regulations consistent with the general principles and specific requirements set forth in the *Code*.

Other model documents for specific parts of the anti-doping work may be developed based on generally recognized stakeholder needs and expectations. This could include models for national anti-doping programs, results management, testing (beyond the specific requirements set forth in the *International Standard for Testing*), education programs, etc. All Models of Best Practice will be reviewed and approved by WADA before they are included in the World Anti-Doping Program.
INTRODUCTION

Part One of the Code sets forth specific anti-doping rules and principles that are to be followed by organizations responsible for adopting, implementing or enforcing anti-doping rules within their authority - e.g., the International Olympic Committee, International Paralympic Committee, International Federations, Major Event Organizations, and National Anti-Doping Organizations. All of these organizations are collectively referred to as Anti-Doping Organizations.

Part One of the Code does not replace, or eliminate the need for, comprehensive anti-doping rules adopted by each of these Anti-Doping Organizations. While some provisions of Part One of the Code must be incorporated essentially verbatim by each Anti-Doping Organization in its own anti-doping rules, other provisions of Part One establish mandatory guiding principles that allow flexibility in the formulation of rules by each Anti-Doping Organization or establish requirements that must be followed by each Anti-Doping Organization but need not be repeated in its own anti-doping rules. The following Articles, as applicable to the scope of anti-doping activity which the Anti-Doping Organization performs, must be incorporated into the rules of each Anti-Doping Organization without any substantive changes (allowing for necessary non-substantive editing changes to the language in order to refer to the organization’s name, sport, section numbers, etc.): Articles 1 (Definition of Doping), 2 (Anti-Doping Rule Violations), 3 (Proof of Doping), 9 (Automatic Disqualification of Individual Results), 10 (Sanctions on Individuals), 11 (Consequences to Teams), 13 (Appeals) with the exception of 13.2.2, 17 (Statute of Limitations) and Definitions.

Anti-doping rules, like competition rules, are sport rules governing the conditions under which sport is played. Athletes accept these rules as a condition of participation. Anti-doping rules are not intended to be subject to or limited by the requirements and legal standards applicable to criminal proceedings or employment matters. The policies and minimum standards set forth in the Code represent the consensus of a broad spectrum of stakeholders with an interest in fair sport and should be respected by all courts and adjudicating bodies.

Participants shall be bound to comply with the anti-doping rules adopted in conformance with the Code by the relevant Anti-Doping Organizations. Participants shall be bound to comply with the anti-doping rules adopted in conformance with the Code by the relevant Anti-Doping Organizations. Each Signatory shall establish rules and procedures to ensure that all Participants under the authority of the Signatory and its member organizations are informed of and agree to be bound by anti-doping rules in force of the relevant Anti-Doping Organizations.

Participants Comments. By their participation in sport, Athletes are bound by the competitive rules of their sport. In the same manner, Athletes and Athlete Support Personnel should be bound by anti-doping rules based on Article 2 of the Code by virtue of their agreements for membership, accreditation, or participation in sports organizations or sports events subject to the Code. Each Signatory, however, shall take the necessary steps to ensure that all Athletes and Athlete Support Personnel within its authority are bound by the relevant Anti-Doping Organization’s anti-doping rules.

Introduction Comment. For example, it is critical to harmonization that all Signatories base their decisions on the same list of anti-doping rule violations, the same burdens of proof and impose the same Consequences for the same anti-doping rule violations. These substantive rules must be the same whether a hearing takes place before an International Federation, at the national level or before CAS. On the other hand, it is not necessary for effective harmonization to force all Signatories to use one single results management and hearing process. At present, there are many different, yet equally effective processes for results management and hearings within different International Federations and different national bodies. The Code does not require absolute uniformity in results management and hearing procedures, it does, however, require that the diverse approaches of the Signatories satisfy principles stated in the Code.

With respect to Article 13, subpart 13.2.2 is not included in the provisions required to be adopted essentially verbatim. As 13.2.2 establishes mandatory guiding principles that allow some flexibility in the formulation of rules by the Anti-Doping Organization.

World Anti-Doping Code 2003

World Anti-Doping Code 2003

World Anti-Doping Code 2003
ARTICLE 1: DEFINITION OF DOPING

Doping is defined as the occurrence of one or more of the anti-doping rule violations set forth in Article 2.1 through Article 2.8 of the Code.

ARTICLE 2: ANTI-DOPING RULE VIOLATIONS

The following constitute anti-doping rule violations:

2.1 The presence of a Prohibited Substance or its Metabolites or Markers in an Athlete’s bodily Specimen.

2.1.1 It is each Athlete’s personal duty to ensure that no Prohibited Substance enters his or her body. Athletes are responsible for any Prohibited Substance or its Metabolites or Markers found to be present in their bodily Specimens. Accordingly, it is not necessary that intent, fault, negligence or knowing Use on the Athlete’s part be demonstrated in order to establish an anti-doping violation under Article 2.1.

2.1.2 Excepting those substances for which a quantitative reporting threshold is specifically identified in the Prohibited List, the detected presence of any quantity of a Prohibited Substance or its Metabolites or Markers in an Athlete’s Sample shall constitute an anti-doping rule violation.

2.1.3 As an exception to the general rule of Article 2.1, the Prohibited List may establish special criteria for the evaluation of Prohibited Substances that can also be produced endogenously.

COMMENT: The purpose of Article 2 is to specify the circumstances and conduct which constitute violations of anti-doping rules. Hearings in doping cases will proceed based on the assertion that one or more of these specific rules have been violated. Most of the circumstances and conduct on this list of violations can be found in some form in the OMADC or other existing anti-doping rules.

2.1.1 Comment: For purposes of anti-doping violations involving the presence of a Prohibited Substance (or its Metabolites or Markers), the Code adopts the rule of strict liability which is found in the OMADC and the vast majority of existing anti-doping rules. Under the strict liability principle, an anti-doping rule violation occurs whenever a Prohibited Substance is found in an Athlete’s bodily Specimen. The violation occurs whether or not the Athlete intentionally or unintentionally used a Prohibited Substance or was negligent or otherwise at fault. If the positive Sample came from an In-Competition test, then the results of that Competition are automatically invalidated (Article 9 Automatic Disqualification of Individual Results). However, the Athlete then has the possibility to avoid or reduce sanctions if the Athlete can demonstrate that he or she was not at fault or significant fault (Article 10.5 Elimination or Reduction of Period of Ineligibility Based on Exceptional Circumstances).

The strict liability rule for the finding of a Prohibited Substance in an Athlete’s Specimen, with a possibility that sanctions may be modified based on specified criteria, provides a reasonable balance between effective anti-doping enforcement for the benefit of all “clean” Athletes and fairness in the exceptional circumstance where a Prohibited Substance entered an Athlete’s system through no fault or negligence on the Athlete’s part. It is important to emphasize that while the determination of whether the anti-doping rule has been violated is based on strict liability, the imposition of a fixed period of Ineligibility is not automatic.

The rationale for the strict liability rule was well stated by the Court of Arbitration for Sport in the case of Quitely v. UIT.

“It is true that a strict liability test is likely in some sense to be unfair in an individual case, such as that of Q, where the Athlete may have taken medication as the result of mislabeling or faulty advice for which he or she is not responsible – particularly in the circumstances of sudden illness in a foreign country. But it is also in some sense “unfair” for an Athlete to get food poisoning on the eve of an important competition. Yet in neither case will the rules of the competition be altered to undo the unfairness. Just as the competition will not be postponed to await the Athlete’s recovery, so the prohibition of banned substances will not be lifted in recognition of its accidental absorption. The vicissitudes of competition, like those of life generally, may create many types of unfairness, whether by accident or the negligence of unaccountable Persons, which the law cannot repair.

Furthermore, it appears to be a laudable policy objective not to repair an accidental unfairness to an individual by creating an intentional unfairness to the whole body of other competitors. This is what would happen if banned performance-enhancing substances were tolerated when absorbed inadvertently. Moreover, it is likely that even intentional abuse would in many cases escape sanction for lack of proof of guilty intent. And it is certain that a requirement of intent would invite costly litigation that may well cripple federations – particularly those run on modest budgets – in their fight against doping.”

2.1.3 Comment: For example, the Prohibited List might provide that a T/E ratio greater than 6:1 is doping unless a longitudinal analysis of prior or subsequent test results by the Anti-Doping Organization demonstrates a naturally elevated ratio or the Athlete otherwise establishes that the elevated ratio is the result of a physiological or pathological condition.
2.2 Use or Attempted Use of a Prohibited Substance or a Prohibited Method.

2.2.1 The success or failure of the Use of a Prohibited Substance or Prohibited Method is not material. It is sufficient that the Prohibited Substance or Prohibited Method was Used or Attempted to be Used for an anti-doping rule violation to be committed.

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

2.2.1 Comment: The prohibition against “Use” has been expanded from the text in the OMADC to include Prohibited Substances as well as Prohibited Methods. With this inclusion there is no need to specifically delineate “admission of Use” as a separate anti-doping rule violation. “Use” can be proved, for example, through admissions, third party testimony or other evidence. Demonstrating the “Attempted Use” of a Prohibited Substance requires proof of intent on the Athlete’s part. The fact that intent may be required to prove this particular anti-doping rule violation does not undermine the strict liability principle established for violations of Article 2.1 and Use of a Prohibited Substance or Prohibited Method.

An Athlete’s Out-of-Competition Use of a Prohibited Substance that is not prohibited Out-of-Competition would not constitute an anti-doping rule violation.

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

2.4 Violation of applicable requirements regarding Athlete availability for Out-of-Competition Testing including failure to provide required whereabouts information and missed tests which are declared based on reasonable rules.

2.5 Tampering, or Attempting to tamper, with any part of Doping Control.

2.6 Possession of Prohibited Substances and Methods:

2.6.1 Possession by an Athlete at any time or place of a substance that is prohibited in Out-of-Competition Testing or a Prohibited Method unless the Athlete establishes that the Possession is pursuant to a therapeutic use exemption granted in accordance with Article 4.4 (Therapeutic Use) or other acceptable justification.

2.6.2 Possession of a substance that is prohibited in Out-of-Competition Testing or a Prohibited Method by Athlete Support Personnel in connection with an Athlete, Competition or training, unless the Athlete Support Personnel establishes that the Possession is pursuant to a therapeutic use exemption granted to an Athlete in accordance with Article 4.4 (Therapeutic Use) or other acceptable justification.

2.4 Comment: Unannounced Out-of-Competition Testing is at the core of effective Doping Control. Without accurate Athlete location information such Testing is inefficient and sometimes impossible. This Article, which is not typically found in most existing anti-doping rules, requires Athletes that have been identified for Out-of-Competition Testing to be responsible for providing and updating information on their whereabouts so that they can be located for No Advance Notice Out-of-Competition Testing. The “applicable requirements” are set by the Athlete’s International Federation and National Anti-Doping Organization in order to allow some flexibility based upon varying circumstances encountered in different sports and countries. A violation of this Article may be based on either intentional or negligent conduct by the Athlete.

2.5 Comment: This Article prohibits conduct which subverts the Doping Control process but which would not be included in the typical definition of Prohibited Methods. For example, altering identification numbers on a Doping Control form during Testing or breaking the B Bottle at the time of B Sample analysis.
2.7 Trafficking in any Prohibited Substance or Prohibited Method.

2.8 Administration or Attempted administration of a Prohibited Substance or Prohibited Method to any Athlete, or assisting, encouraging, aiding, abetting, covering up or any other type of complicity involving an anti-doping rule violation or any Attempted violation.

ARTICLE 3: PROOF OF DOPING

3.1 Burdens and Standards of Proof.

The Anti-Doping Organization shall have the burden of establishing that an anti-doping rule violation has occurred. The standard of proof shall be whether the Anti-Doping Organization has established an anti-doping rule violation to the comfortable satisfaction of the hearing body bearing in mind the seriousness of the allegation which is made. This standard of proof in all cases is greater than a mere balance of probability but less than proof beyond a reasonable doubt. Where the Code places the burden of proof upon the Athlete or other Person alleged to have committed an anti-doping rule violation to rebut a presumption or establish specified facts or circumstances, the standard of proof shall be by a balance of probability.

3.2 Methods of Establishing Facts and Presumptions.

Facts related to anti-doping rule violations may be established by any reliable means, including admissions. The following rules of proof shall be applicable in doping cases:

3.1 Comment: This standard of proof required to be met by the Anti-Doping Organization is comparable to the standard which is applied in most countries to cases involving professional misconduct. It has also been widely applied by courts and tribunals in doping cases. See, for example, the CAS decision in N., J., Y., W. v. FINA, CAS 98/200, 22 December 1998.

3.2.1 WADA-accredited laboratories are presumed to have conducted Sample analysis and custodial procedures in accordance with the International Standard for laboratory analysis. The Athlete may rebut this presumption by establishing that a departure from the International Standard occurred.

If the Athlete rebuts the preceding presumption by showing that a departure from the International Standard occurred, then the Anti-Doping Organization shall have the burden to establish that such departure did not cause the Adverse Analytical Finding.

3.2.2 Departures from the International Standard for Testing which did not cause an Adverse Analytical Finding or other anti-doping rule violation shall not invalidate such results. If the Athlete establishes that departures from the International Standard occurred during Testing then the Anti-Doping Organization shall have the burden to establish that such departures did not cause the Adverse Analytical Finding or the factual basis for the anti-doping rule violation.

3.2.1 Comment: The burden is on the Athlete to establish, by a preponderance of the evidence, a departure from the International Standard. If the Athlete does so, the burden shifts to the Anti-Doping Organization to prove to the comfortable satisfaction of the hearing body that the departure did not change the test result.
ARTICLE 4: THE PROHIBITED LIST

4.1 Publication and Revision of the Prohibited List.
WADA shall, as often as necessary and no less often than annually, publish the Prohibited List as an International Standard. The proposed content of the Prohibited List and all revisions shall be provided in writing promptly to all Signatories and governments for comment and consultation. Each annual version of the Prohibited List and all revisions shall be distributed promptly by WADA to each Signatory and government and shall be published on WADA’s website, and each Signatory shall take appropriate steps to distribute the Prohibited List to its members and constituents. The rules of each Anti-Doping Organization shall specify that, unless provided otherwise in the Prohibited List or a revision, the Prohibited List and revisions shall go into effect under the Anti-Doping Organization’s rules three months after publication of the Prohibited List by WADA without requiring any further action by the Anti-Doping Organization.

4.2 Prohibited Substances and Prohibited Methods Identified on the Prohibited List.
The Prohibited List shall identify those Prohibited Substances and Prohibited Methods which are prohibited as doping at all times (both In-Competition and Out-of-Competition) because of their potential to enhance performance in future Competitions or their masking potential and those substances and methods which are prohibited In-Competition only. Upon the recommendation of an International Federation, the Prohibited List may be expanded by WADA for that particular sport. Prohibited Substances and Prohibited Methods may be included in the Prohibited List by general category (e.g., anabolic agents) or by specific reference to a particular substance or method.

4.3 Criteria for Including Substances and Methods on the Prohibited List.
WADA shall consider the following criteria in deciding whether to include a substance or method on the Prohibited List.

4.3.1 A substance or method shall be considered for inclusion on the Prohibited List if WADA determines that the substance or method meets any two of the following three criteria:

4.3.1.1 Medical or other scientific evidence, pharmacological effect or experience that the substance or method has the potential to enhance or enhances sport performance;

It is anticipated that revised anti-doping rules adopted by Anti-Doping Organizations pursuant to the Code will not go into effect until January 1, 2004 with the publication of the first Prohibited List adopted by WADA. The OMADC will continue to be applicable until the Code is accepted by the International Olympic Committee.

4.2 Comment: There will be one Prohibited List. The substances which are prohibited at all times would include masking agents and those substances which, when used in training, may have long term performance enhancing effects such as anabolics. All substances and methods on the Prohibited List are prohibited In-Competition. This distinction between what is tested for In-Competition and what is tested for Out-of-Competition is carried over from the OMADC. There will be only one document called the “Prohibited List.” WADA may add additional substances or methods to the Prohibited List for particular sports (e.g. the inclusion of beta-blockers for shooting) but this will also be reflected on the single Prohibited List. Having all Prohibited Substances on a single list will avoid some of the current confusion related to identifying which substances are prohibited in which sports. Individual sports are not permitted to seek exemption from the basic list of Prohibited Substances (e.g. eliminating anabolics from the Prohibited List for “mind sports”). The premise of this decision is that there are certain basic doping agents which anyone who chooses to call himself or herself an Athlete should not take.
4.3.3 **WADA’s determination of the Prohibited Substances and Prohibited Methods** that will be included on the Prohibited List shall be final and shall not be subject to challenge by an Athlete or other Person based on an argument that the substance or method was not a masking agent or did not have the potential to enhance performance, represent a health risk, or violate the spirit of sport.

4.4 **Therapeutic Use**

WADA shall adopt an International Standard for the process of granting therapeutic use exemptions.

Each International Federation shall ensure, for International-Level Athletes or any other Athlete who is

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**4.3.1.2** Medical or other scientific evidence, pharmacological effect, or experience that the Use of the substance or method represents an actual or potential health risk to the Athlete.

**4.3.1.3** WADA’s determination that the Use of the substance or method violates the spirit of sport described in the Introduction to the Code.

**4.3.2** A substance or method shall also be included on the Prohibited List if WADA determines there is medical or other scientific evidence, pharmacological effect or experience that the substance or method has the potential to mask the Use of other Prohibited Substances and Prohibited Methods.

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**4.3.2 Comment.** A substance shall be considered for inclusion on the Prohibited List if the substance is a masking agent or meets two of the following three criteria: (1) it has the potential to enhance or enhances sport performance; (2) it represents a potential or actual health risk; or (3) it is contrary to the spirit of sport. None of the three criteria alone is a sufficient basis for adding a substance to the Prohibited List. Using the potential to enhance performance as the sole criteria would include, for example, physical and mental training, red meat, carbohydrate loading and training at altitude. Risk of harm would include smoking. Requiring all three criteria would also be unsatisfactory. For example, the use of genetic transfer technology to dramatically enhance sport performance should be prohibited as contrary to the spirit of sport even if it is not harmful. Similarly, the potentially unhealthy abuse of certain substances without therapeutic justification based on the mistaken belief they enhance performance is certainly contrary to the spirit of sport regardless of whether the expectation of performance enhancement is realistic.

**4.3.3** **Comment.** The question of whether a substance meets the criteria in Article 4.3 (Criteria for Including Substances and Methods on the Prohibited List) in a particular case cannot be raised as a defense to an anti-doping rule violation. For example, it cannot be argued that the Prohibited Substance detected would not have been performance enhancing in that particular sport. Rather, doping occurs when a substance on the Prohibited List is found in an Athlete’s bodily Specimen. The same principle is found in the OMADC.

**4.4 Comment.** It is important that the processes for granting therapeutic use exemptions become more harmonized. Athletes who use medically prescribed Prohibited Substances may be subject to sanctioning unless they have previously obtained a therapeutic use exemption. However, currently many sporting bodies have no rules permitting therapeutic use exemptions; others follow unwritten policies, and only a few have written policies incorporated into their anti-doping rules. This Article seeks to harmonize the basis upon which therapeutic use exemptions will be granted and gives responsibility for granting or denying exemptions to the International Federations for International-Level Athletes and to the National Anti-Doping Organizations for national-level Athletes (that are not also International-Level Athletes) and other Athletes subject to Doping Control under the Code.

Examples of commonly prescribed Prohibited Substances which might be specifically addressed in the International Standard for therapeutic use exemptions are medications prescribed for acute severe asthma and inflammatory bowel disease. When a therapeutic use exemption has been denied or granted in contravention of the International Standard, that decision may be submitted to WADA for review as provided in the International Standard and thereafter appealed as provided in Article 13.3 (Appeals). If the granting of a therapeutic use exemption is reversed, the reversal shall not apply retroactively and shall not disqualify the Athlete’s results during the time that the therapeutic use exemption was in effect.
entered in an International Event, that a process is in place whereby Athletes with documented medical conditions requiring the Use of a Prohibited Substance or a Prohibited Method may request a therapeutic use exemption. Each National Anti-Doping Organization shall ensure, for all Athletes within its jurisdiction that are not International-Level Athletes, that a process is in place whereby Athletes with documented medical conditions requiring the Use of a Prohibited Substance or a Prohibited Method may request a therapeutic use exemption. Such requests shall be evaluated in accordance with the International Standard on therapeutic use. International Federations and National Anti-Doping Organizations shall promptly report to WADA the granting of therapeutic use exemptions to any International-Level Athlete or national-level Athlete that is included in his or her National Anti-Doping Organization’s Registered Testing Pool.

WADA, on its own initiative, may review the granting of a therapeutic use exemption to any International-Level Athlete or national-level Athlete that is included in his or her National Anti-Doping Organization’s Registered Testing Pool. Further, upon the request of any such Athlete that has been denied a therapeutic use exemption, WADA may review such denial. If WADA determines that such granting or denial of a therapeutic use exemption did not comply with the International Standard for therapeutic use exemptions, WADA may reverse the decision.

4.5 Monitoring Program

WADA, in consultation with other Signatories and governments, shall establish a monitoring program regarding substances which are not on the Prohibited List, but which WADA wishes to monitor in order to detect patterns of misuse in sport. WADA shall publish, in advance of any Testing, the substances that will be monitored. Laboratories will report the instances of reported Use or detected presence of these substances to WADA periodically on an aggregate basis by sport and whether the Samples were collected In-Competition or Out-of-Competition. Such reports shall not contain additional information regarding specific Samples. WADA shall make available to International Federations and National Anti-Doping Organizations, on at least an annual basis, aggregate statistical information by sport regarding the additional substances. WADA shall implement measures to ensure that strict anonymity of individual Athletes is maintained with respect to such reports. The reported use or detected presence of the monitored substances shall not constitute a doping violation.

ARTICLE 5: TESTING

5.1 Test Distribution Planning. Anti-Doping Organizations conducting Testing shall in coordination with other Anti-Doping Organizations conducting Testing on the same Athlete pool:

5.1.1 Plan and implement an effective number of In-Competition and Out-of-Competition tests. Each International Federation shall establish a Registered Testing Pool for International-Level Athletes in its sport, and each National Anti-Doping Organization shall establish a national Registered Testing Pool for Athletes in its country. The national-level pool shall include International-Level Athletes from that country as well as other national-level Athletes. Each International Federation and National Anti-Doping Organization shall plan and conduct In-Competition and Out-of-Competition Testing on its Registered Testing Pool.

5.1.2 Make No Advance Notice Testing a priority.

5.1.3 Conduct Target Testing.

5.1.3 Comment: Target Testing is specified because random Testing, or even weighted random Testing, does not ensure that all of the appropriate world class Athletes, Athletes whose
5.2 Standards for Testing

Anti-Doping Organizations conducting Testing shall conduct such Testing in conformity with the International Standard for Testing.

ARTICLE 6: ANALYSIS OF SAMPLES

Doping Control Samples shall be analyzed in accordance with the following principles:

6.1 Use of Approved Laboratories

Doping Control Samples shall be analyzed only in WADA-accredited laboratories or as otherwise approved by WADA. The choice of the WADA-accredited laboratory (or other method approved by WADA) used for the Sample analysis shall be determined exclusively by the Anti-Doping Organization responsible for results management.

6.2 Substances Subject to Detection

Doping Control Samples shall be analyzed to detect Prohibited Substances and Prohibited Methods identified on the Prohibited List and other substances as may be directed by WADA pursuant to Article 4.5 (Monitoring Program).

6.3 Research on Samples

No Sample may be used for any purpose other than the detection of substances (or classes of substances) or methods on the Prohibited List, or as otherwise identified

5.2 Comment: The required methods and processes for the various types of In-Competition and Out-of-Competition Testing will be described in greater detail in the International Standard for Testing.

6.1 Comment: The phrase “or other method approved by WADA” is intended to cover, for example, mobile blood Testing procedures which WADA has reviewed and considers to be reliable.

6.4 Standards for Sample Analysis and Reporting

Laboratories shall analyze Doping Control Samples and report results in conformity with the International Standard for laboratory analysis.

ARTICLE 7: RESULTS MANAGEMENT

Each Anti-Doping Organization conducting results management shall establish a process for the pre-hearing administration of potential anti-doping rule violations that respects the following principles:

7.1 Initial Review Regarding Adverse Analytical Findings

Upon receipt of an A Sample Adverse Analytical Finding, the Anti-Doping Organization responsible for results management shall conduct a review to determine whether: (a) an applicable therapeutic use exemption has been granted, or (b) there is any apparent departure from the International Standards for Testing or laboratory analysis that undermines the validity of the Adverse Analytical Finding.

7.2 Notification After Initial Review

If the initial review under Article 7.1 does not reveal an applicable therapeutic use exemption or departure that undermines the validity of the Adverse Analytical Finding.

7 Comment: Various of the Signatories have created their own approaches to results management for Adverse Analytical Findings. While the various approaches have not been entirely uniform, many have proven to be fair and effective systems for results management. The Code does not supplant each of the Signatories’ results management systems. This Article does, however, specify basic principles in order to ensure the fundamental fairness of the results management process which must be observed by each Signatory. The specific anti-doping rules of each Signatory shall be consistent with these basic principles.

7.2 Comment: The Athlete has a right to request a prompt B Sample analysis regardless of whether follow-up investigation may be required under Articles 7.3 or 7.4.
the Anti-Doping Organization shall promptly notify the Athlete, in the manner set out in its rules, of: (a) the Adverse Analytical Finding; (b) the anti-doping rule violated, or, in a case under Article 7.3, a description of the additional investigation that will be conducted as to whether there is an anti-doping rule violation; (c) the Athlete’s right to promptly request the analysis of the B Sample or, failing such request, that the B Sample analysis may be deemed waived; (d) the right of the Athlete and/or the Athlete’s representative to attend the B Sample opening and analysis if such analysis is requested; and (e) the Athlete’s right to request copies of the A and B Sample laboratory documentation package which includes information as required by the International Standard for laboratory analysis.

7.3 Further Review of Adverse Analytical Finding Where Required by Prohibited List

The Anti-Doping Organization or other reviewing body established by such organization shall also conduct any follow-up investigation as may be required by the Prohibited List. Upon completion of such follow-up investigation, the Anti-Doping Organization shall promptly notify the Athlete regarding the results of the follow-up investigation and whether or not the Anti-Doping Organization asserts that an anti-doping rule was violated.

7.4 Review of Other Anti-Doping Rule Violations

The Anti-Doping Organization or other reviewing body established by such organization shall conduct any follow-up investigation as may be required under applicable anti-doping policies and rules adopted pursuant to the Code or which the Anti-Doping Organization otherwise considers appropriate. The Anti-Doping Organization shall promptly give the Athlete or other Person subject to sanction notice.

7.4 Comment: As an example, an International Federation typically would notify the Athlete through the Athlete’s national sports federation.

7.5 Principles Applicable to Provisional Suspensions

A Signatory may adopt rules, applicable to any Event for which the Signatory is the ruling body or for any team selection process for which the Signatory is responsible, permitting Provisional Suspensions to be imposed after the review and notification described in Articles 7.1 and 7.2 but prior to a final hearing as described in Article 8 (Right to a Fair Hearing). Provided, however, that a Provisional Suspension may not be imposed unless the Athlete is given either: (a) an opportunity for a Provisional Hearing either before imposition of the Provisional Suspension or on a timely basis after imposition of the Provisional Suspension; or (b) an opportunity for an expedited hearing in accordance with Article 8 (Right to a Fair Hearing) on a timely basis after imposition of a Provisional Suspension.

If a Provisional Suspension is imposed based on an A Sample Adverse Analytical Finding and a subsequent B Sample analysis does not confirm the A Sample analysis, then the Athlete shall not be subject to any further disciplinary action and any sanction previously imposed shall be rescinded. In circumstances where the Athlete or the Athlete’s team has been removed from a Competition and the subsequent B Sample analysis does not confirm the A Sample finding, if, without otherwise affecting the Competition, it is still possible for the Athlete or team to be reinserted, the Athlete or team may continue to take part in the Competition.

7.5 Comment: This Article continues to permit the possibility of a Provisional Suspension before a final decision at a hearing under Article 8 (Right to a Fair Hearing). Provisional Suspensions have been authorized in the OMADC and by the rules of many International Federations. However, before a Provisional Suspension can be unilaterally imposed by an Anti-Doping Organization, the internal review specified in the Code must first be completed. In addition, a Signatory imposing a Provisional Suspension is required to give the Athlete an opportunity for a Provisional Hearing.
ARTICLE 8: RIGHT TO A FAIR HEARING

Each Anti-Doping Organization with responsibility for results management shall provide a hearing process for any Person who is asserted to have committed an anti-doping rule violation. Such hearing process shall address whether an anti-doping violation was committed and, if so, the appropriate Consequences. The hearing process shall respect the following principles:

• a timely hearing;
• fair and impartial hearing body;
• the right to be represented by counsel at the Person’s own expense;
• the right to be fairly and timely informed of the asserted anti-doping rule violation;
• the right to respond to the asserted anti-doping rule violation and resulting Consequences;

either before or promptly after the imposition of the Provisional Suspension, or an expedited final hearing under Article 8 promptly after imposition of the Provisional Suspension. The Athlete has a right to appeal under Article 13.2. As an alternative to the process for imposing a Provisional Suspension under this Article, the Anti-Doping Organization may always elect to forego a Provisional Suspension and proceed directly to the final hearing utilizing an expedited process under Article 8.

In the rare circumstance where the B Sample analysis does not confirm the A Sample finding, the Athlete that had been provisionally suspended will be allowed, where circumstances permit, to participate in subsequent Competitions during the Event. Similarly, depending upon the relevant rules of the International Federation in a Team Sport, if the team is still in Competition, the Athlete may be able to take part in future Competitions.

8 Comment: This Article contains basic principles relative to ensuring a fair hearing for Persons asserted to have violated anti-doping rules. This Article is not intended to supplant each Signatory’s own rules for hearings but rather to ensure that each Signatory provides a hearing process consistent with these principles.

• the right of each party to present evidence, including the right to call and question witnesses (subject to the hearing body’s discretion to accept testimony by telephone or written submission);
• the Person’s right to an interpreter at the hearing, with the hearing body to determine the identity, and responsibility for the cost, of the interpreter; and
• a timely, written, reasoned decision;

Hearings held in connection with Events may be conducted by an expedited process as permitted by the rules of the relevant Anti-Doping Organization and the hearing body.

ARTICLE 9: AUTOMATIC DISQUALIFICATION OF INDIVIDUAL RESULTS

An anti-doping rule violation in connection with an In-Competition test automatically leads to Disqualification of the individual result obtained in that Competition with all resulting consequences, including forfeiture of any medals, points and prizes.

The reference to CAS as an appellate body in Article 13 does not prevent a Signatory from also specifying CAS as the initial hearing body.

For example a hearing could be expedited on the eve of a major Event where the resolution of the anti-doping rule violation is necessary to determine the Athlete’s eligibility to participate in the Event or during an Event where the resolution of the case will affect the validity of the Athlete’s results or continued participation in the Event.

9 Comment: This principle is found in the OMADC. When an Athlete wins a gold medal with a Prohibited Substance in his or her system, that is unfair to the other Athletes in that Competition regardless of whether the gold medalist was at fault in any way. Only a “clean” Athlete should be allowed to benefit from his or her competitive results.

For Team Sports, see Article 11 (Consequences to Teams).
ARTICLE 10: SANCTIONS ON INDIVIDUALS

10.1 Disqualification of Results in Event During which an Anti-Doping Rule Violation Occurs

An anti-doping rule violation occurring during or in connection with an Event may, upon the decision of the ruling body of the Event, lead to Disqualification of all of the Athlete’s individual results obtained in that Event with all consequences, including forfeiture of all medals, points and prizes, except as provided in Article 10.1.1.

10.1.1 If the Athlete establishes that he or she bears No Fault or Negligence for the violation, the Athlete’s individual results in the other Competitions shall not be Disqualified unless the Athlete’s results in Competitions other than the Competition in which the anti-doping rule violation occurred were likely to have been affected by the Athlete’s anti-doping rule violation.

10.2 Imposition of Ineligibility for Prohibited Substances and Prohibited Methods

Except for the specified substances identified in Article 10.3, the period of Ineligibility imposed for a violation of Articles 2.1 (presence of Prohibited Substance or its Metabolites or Markers), 2.2 (Use or Attempted Use of Prohibited Substance or Prohibited Method) and 2.6 (Possession of Prohibited Substances and Methods) shall be:

- First violation: Two (2) years’ Ineligibility.
- Second violation: Lifetime Ineligibility.

However, the Athlete or other Person shall have the opportunity in each case, before a period of Ineligibility is imposed, to establish the basis for eliminating or reducing this sanction as provided in Article 10.5

10.3 Specified Substances

The Prohibited List may identify specified substances which are particularly susceptible to unintentional anti-doping rules violations because of their general availability in medicinal products or which are less likely to be successfully abused as doping agents. Where an Athlete can establish that the Use of such a specified substance, much longer (e.g. equestrian and shooting), in individual sports, the Athlete is better able to maintain competitive skills through solitary practice during Disqualification than in other sports where practice as part of a team is more important. A primary argument in favor of harmonization is that it is simply not right that two Athletes from the same country who test positive for the same Prohibited Substance under similar circumstances should receive different sanctions only because they participate in different sports. In addition, flexibility in sanctioning has often been viewed as an unacceptable opportunity for some sporting bodies to be more lenient with dopers. The lack of harmonization of sanctions has also frequently been the source of jurisdictional conflicts between International Federations and National Anti-Doping Organizations.

The consensus of the World Conference on Doping in Sport held in Lausanne in February 1999 supported a two year period of Ineligibility for a first serious anti-doping rule violation followed with a lifetime ban for a second violation. This consensus was reflected in the OMADC.

10.3 Comment: This principle is carried over from the OMADC and allows, for example, some flexibility in disciplining Athletes who test positive as a result of the inadvertent use of a cold medicine containing a prohibited stimulant. "Reduction" of a sanction under Article 10.5.2 applies only to a second or third violation because the sanction for a first
substance was not intended to enhance sport performance, the period of Ineligibility found in Article 10.2 shall be replaced with the following:

- **First violation**: At a minimum, a warning and reprimand and no period of Ineligibility from future Events, and at a maximum, one (1) year’s Ineligibility.

- **Second violation**: Two (2) years’ Ineligibility.

- **Third violation**: Lifetime Ineligibility.

However, the Athlete or other Person shall have the opportunity in each case, before a period of Ineligibility is imposed, to establish the basis for eliminating or reducing (in the case of a second or third violation) this sanction as provided in Article 10.5.

**10.4 Ineligibility for Other Anti-Doping Rule Violations**

The period of Ineligibility for other anti-doping rule violations shall be:

**10.4.1** For violations of Article 2.3 (refusing or failing to submit to Sample collection) or Article 2.5 (Tampering with Doping Control), the Ineligibility periods set forth in Article 10.2 shall apply.

**10.4.2** For violations of Articles 2.7 (Trafficking) or 2.8 (administration of Prohibited Substance or Prohibited Method), the period of Ineligibility imposed shall be a minimum of four (4) years up to lifetime Ineligibility. An anti-doping rule violation involving a Minor shall be considered a particularly serious violation, and, if committed by Athlete Support Personnel for violations other than specified substances referenced in Article 10.3, shall result in lifetime Ineligibility for such Athlete Support Personnel. In addition, violations of such Articles which also violate non-sporting laws and regulations, may be reported to the competent administrative, professional or judicial authorities.

**10.4.3** For violations of Article 2.4 (whereabouts violation or missed test), the period of Ineligibility shall be at a minimum 3 months and at a maximum 2 years in accordance with the rules established by the Anti-Doping Organization whose test was missed or whereabouts requirement was violated. The period of Ineligibility for subsequent violations of Article 2.4 shall be as established in the rules of the Anti-Doping Organization whose test was missed or whereabouts requirement was violated.

**10.5 Elimination or Reduction of Period of Ineligibility Based on Exceptional Circumstances.**

**10.5.1 No Fault or Negligence**

If the Athlete establishes in an individual case involving an anti-doping rule violation under Article...
2.1 (Presence of Prohibited Substance or its Metabolites or Markers) or Use of a Prohibited Substance or Prohibited Method under Article 2.2 that he or she bears No Fault or Negligence for the violation, the otherwise applicable period of Ineligibility shall be eliminated. When a Prohibited Substance or its Markers or Metabolites is detected in an Athlete’s Specimen in violation of Article 2.1 (presence of Prohibited Substance), the Athlete must also establish how the Prohibited Substance entered his or her system in order to have the period of Ineligibility eliminated. In the event this Article is applied and the period of Ineligibility otherwise applicable is eliminated, the anti-doping rule violation shall not be considered a violation for the limited purpose of determining the period of Ineligibility for multiple violations under Articles 10.2, 10.3 and 10.6.

10.5.2 No Significant Fault or Negligence

This Article 10.5.2 applies only to anti-doping rule violations involving Article 2.1 (Presence of Prohibited Substance or its Metabolites or Markers), Use of a Prohibited Substance or Prohibited Method under Article 2.2, failing to submit to Sample collection under Article 2.3, or administration of a Prohibited Substance or Prohibited Method under Article 2.8. If an Athlete establishes in an individual case involving such violations that he or she bears No Significant Fault or Negligence, then the period of Ineligibility may be reduced, but the reduced period of Ineligibility may not be less than one-half of the minimum period of Ineligibility otherwise applicable. If the otherwise applicable period of Ineligibility is a lifetime, the reduced period under this section may be no less than 8 years. When a Prohibited Substance or its Markers or Metabolites is detected in an Athlete’s Specimen in violation of Article 2.1 (Presence of Prohibited Substance), the Athlete must also establish how the Prohibited Substance entered his or her system in order to have the period of Ineligibility reduced.

10.5.2 Comment: The trend in doping cases has been to recognize that there must be some opportunity in the course of the hearing process to consider the unique facts and circumstances of each particular case in imposing sanctions. This principle was accepted at the World Conference on Doping in Sport 1999 and was incorporated into the OMACC which provides that sanctions can be reduced in “exceptional circumstances.” The Code also provides for the possible reduction or elimination of the period of Ineligibility in the unique circumstance where the Athlete can establish that he or she had No Fault or Negligence, or No Significant Fault or Negligence, in connection with the violation. This approach is consistent with basic principles of human rights and provides a balance between those Anti-Doping Organizations that argue for a much narrower exception, or none at all, and those that would reduce a two year suspension based on a range of other factors even when the Athlete was admittedly at fault. These Articles apply only to the imposition of sanctions; they are not applicable to the determination of whether an anti-doping rule violation has occurred.

Article 10.5 is meant to have an impact only in cases where the circumstances are truly exceptional and not in the vast majority of cases.

To illustrate the operation of Article 10.5, an example where No Fault or Negligence would result in the total elimination of a sanction is where an Athlete could prove that, despite all due care, he or she was sabotaged by a competitor. Conversely, a sanction could not be completely eliminated on the basis of No Fault or Negligence in the following circumstances: (a) a positive test resulting from a mislabeled or contaminated vitamin or nutritional supplement (Athletes are responsible for what they ingest (Article 2.1.1) and have been warned against the possibility of supplement contamination); (b) the administration of a prohibited substance by the Athlete’s personal physician or trainer without disclosure to the Athlete (Athletes are responsible for their choice of medical personnel and for advising medical personnel that they cannot be given any prohibited substance); and (c) sabotage of the Athlete’s food or drink by a spouse, coach or other person within the Athlete’s circle of associates (Athletes are responsible for what they ingest and for the conduct of those persons to whom they entrust access to their food and drink). However, depending on the unique facts of a particular case, any of the referenced illustrations could result in a reduced sanction based on No Significant Fault or Negligence. (For example, reduction may well be appropriate in illustration (a) if the Athlete clearly establishes that the cause of the positive test was contamination in a common multiple vitamin purchased from a source with no connection to
10.5.3 Athlete’s Substantial Assistance in Discovering or Establishing Anti-Doping Rule Violations by Athlete Support Personnel and Others.

An Anti-Doping Organization may also reduce the period of Ineligibility in an individual case where the Athlete has provided substantial assistance to the Anti-Doping Organization which results in the Anti-Doping Organization discovering or establishing an anti-doping rule violation by another Person involving Possession under Article 2.6.2 (Possession by Athlete Support Personnel), Article 2.7 (Trafficking), or Article 2.8 (administration to an Athlete). The reduced period of Ineligibility may not, however, be less than one-half of the minimum period of Ineligibility otherwise applicable. If the otherwise applicable period of Ineligibility is a lifetime, the reduced period under this section may be no less than 8 years.

10.6 Rules for Certain Potential Multiple Violations

10.6.1 For purposes of imposing sanctions under Articles 10.2, 10.3 and 10.4, a second anti-doping rule violation may be considered for purposes of imposing sanctions only if the Anti-Doping Organization can establish that the Athlete or other Person committed the second anti-doping rule violation after the Athlete or other Person received notice, or after the Anti-Doping Organization made a reasonable Attempt to give notice, of the first anti-doping rule violation; if the Anti-Doping Organization cannot establish this, the violations shall be considered as one single first violation, and the sanction imposed shall be based on the violation that carries the more severe sanction.

10.6.2 Where an Athlete, based on the same Doping Control, is found to have committed an anti-doping rule violation involving both a specified substance governed by Article 10.3 (Specified Substances) and another Prohibited Substance or Prohibited Method, the Athlete shall be considered to have committed a single anti-doping rule violation, but the sanction imposed shall be based on the Prohibited Substance or Prohibited Method that carries the most severe sanction.

10.6.3 Where an Athlete is found to have committed two separate anti-doping rule violations, one involving a specified substance governed by the sanctions set forth in Article 10.3 (Specified Substances) and the Prohibited Substances and the Athlete exercised care in not taking other nutritional supplements.)

Article 10.5.2 applies only to the identified anti-doping rule violations because these violations may be based on conduct that is not intentional or purposeful. Violations under Article 2.4 (whereabouts information and missed tests) are not included, even though intentional conduct is not required to establish these violations, because the sanction for violations of Article 2.4 already builds in sufficient discretion to allow consideration of the Athlete’s degree of fault.

10.6.1 Comment: Under this Article, an Athlete testing positive a second time before notice of the first positive test would only be sanctioned on the basis of a single anti-doping rule violation.

10.6.3 Comment: Article 10.6.3 deals with the situation where an Athlete commits two separate anti-doping rule violations, but one of the violations involves a specified substance governed by the lesser sanctions of Article 10.3. Without this Article in the Code, the second offense arguably could be governed by the sanction applicable to a second violation for the Prohibited Substance involved in the second violation, the sanction applicable to a second offense for the substance involved in the first violation, or a combination of the sanctions applicable to the two offenses. This Article imposes a combined sanction calculated by adding together the sanctions for a first offense under 10.2 (two years) and a first offense under 10.3 (up to one year). This provides the same sanction to the Athlete that commits a first violation under 10.2 followed by a second violation involving a specified substance, and the Athlete that commits a first violation involving a specified substance followed by a second violation under 10.2. In both cases, the sanction shall be from two years to three years’ Ineligibility.
other involving a Prohibited Substance or Prohibited Method governed by the sanctions set forth in Article 10.2 or a violation governed by the sanctions in Article 10.4.1, the period of Ineligibility imposed for the second offense shall be at a minimum two years’ Ineligibility and at a maximum three years’ Ineligibility. Any Athlete found to have committed a third anti-doping rule violation involving any combination of specified substances under Article 10.3 and any other anti-doping rule violation under 10.2 or 10.4.1 shall receive a sanction of lifetime Ineligibility.

10.7 Disqualification of Results in Competitions Subsequent to Sample Collection

In addition to the automatic Disqualification of the results in the Competition which produced the positive Sample under Article 9 (Automatic Disqualification of Individual Results), all other competitive results obtained from the date a positive Sample was collected (whether In-Competition or Out-of-Competition), or other doping violation occurred, through the commencement of any Provisional Suspension or Ineligibility period, shall, unless fairness requires otherwise, be Disqualified with all of the resulting consequences including forfeiture of any medals, points and prizes.

10.8 Commencement of Ineligibility Period

The period of Ineligibility shall start on the date of the hearing decision providing for Ineligibility or, if the hearing is waived, on the date Ineligibility is accepted or otherwise imposed. Any period of Provisional Suspension (whether imposed or voluntarily accepted) shall be credited against the total period of Ineligibility to be served. Where required by fairness, such as delays in the hearing process or other aspects of Doping Control not attributable to the Athlete, the body imposing the sanction may start the period of Ineligibility at an earlier date commencing as early as the date of Sample collection.

10.9 Status During Ineligibility

No Person who has been declared Ineligible may, during the period of Ineligibility, participate in any capacity in a Competition or activity (other than authorized anti-doping education or rehabilitation programs) authorized or organized by any Signatory or Signatory’s member organization. In addition, for any anti-doping rule violation not involving specified substances described in Article 10.3, some or all sport-related financial support or other sport-related benefits received by such Person will be withheld by Signatories, Signatories’ member organizations and governments. A Person subject to a period of Ineligibility longer than four years may, after completing four years of the period of Ineligibility,
participate in local sport events in a sport other than the sport in which the Person committed the anti-doping rule violation, but only so long as the local sport event is not at a level that could otherwise qualify such Person directly or indirectly to compete in (or accumulate points toward) a national championship or International Event.

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

ARTICLE 11 CONSEQUENCES TO TEAMS
Where more than one team member in a Team Sport has been notified of a possible anti-doping rule violation under Article 7 in connection with an Event, the Team shall be subject to Target Testing for the Event. If more than one team member in a Team Sport is found to have committed an anti-doping rule violation during the Event, the team may be subject to Disqualification or other disciplinary action. In sports which are not Team Sports but where awards are given to teams, Disqualification or other disciplinary action against the team when one or more team members have committed an anti-doping rule violation shall be as provided in the applicable rules of the International Federation.

ARTICLE 12 SANCTIONS AGAINST SPORTING BODIES
Nothing in this Code precludes any Signatory or government accepting the Code from enforcing its own rules for the purpose of imposing sanctions on another sporting body over which the Signatory or government has authority.

ARTICLE 13 APPEALS
13.1 Decisions Subject to Appeal
Decisions made under the Code or rules adopted pursuant to the Code may be appealed as set forth below in Articles 13.2 through 13.4. Such decisions shall remain in effect while under appeal unless the appellate body orders otherwise. Before an appeal is commenced, any post-decision review provided in the Anti-Doping Organization’s rules must be exhausted, provided that such review respects the principles set forth in Article 13.2.2 below.

13.2 Appeals from Decisions Regarding Anti-Doping Rule Violations, Consequences, and Provisional Suspensions
A decision that an anti-doping rule violation was committed, a decision imposing Consequences for an anti-doping rule violation, a decision that no anti-doping rule violation was committed, a decision that an Anti-Doping Organization lacks jurisdiction to rule on an alleged anti-doping rule violation or its Consequences, 10.10 Comment: On a related issue, the Code does not establish a rule, but rather leaves it to the various Anti-Doping Organizations to establish their own rules, addressing eligibility requirements for Athletes who are not ineligible and retire from sport while included in an Out-of-Competition pool and then seek to return to active participation in sport.

12 Comment: This Article makes it clear that the Code does not restrict whatever disciplinary rights between organizations may otherwise exist.

13.1 Comment: The comparable OMADC Article is broader in that it provides that any dispute arising out of the application of the OMADC may be appealed to CAS.
and a decision to impose a Provisional Suspension as a result of a Provisional Hearing or in violation of Article 7.5 may be appealed exclusively as provided in this Article 13.2.

13.2.1 Appeals Involving International-Level Athletes
In cases arising from competition in an International Event or in cases involving International-Level Athletes, the decision may be appealed exclusively to the Court of Arbitration for Sport ("CAS") in accordance with the provisions applicable before such court.

13.2.2 Appeals Involving National-Level Athletes
In cases involving national-level Athletes, as defined by each National Anti-Doping Organization, that do not have a right to appeal under Article 13.2.1, the decision may be appealed to an independent and impartial body in accordance with rules established by the National Anti-Doping Organization. The rules for such appeal shall respect the following principles:

• A timely hearing;
• Fair, impartial and independent hearing body;
• The right to be represented by counsel at the Person’s own expense; and
• A timely, written, reasoned decision.

13.2.3 Persons Entitled to Appeal
In cases under Article 13.2.1, the following parties shall have the right to appeal to CAS: (a) the Athlete or other Person who is the subject of the decision being appealed; (b) the other party to the case in which the decision was rendered; (c) the relevant International Federation and any other Anti-Doping Organization under whose rules a sanction could have been imposed; (d) the International Olympic Committee or International Paralympic Committee, as applicable, where the decision may have an effect in relation to the Olympic Games or Paralympic Games, including decisions affecting eligibility for the Olympic Games or Paralympic Games; and (e) WADA. In cases under Article 13.2.2, the parties having the right to appeal to the national-level reviewing body shall be as provided in the National Anti-Doping Organization’s rules but, at a minimum, shall include: (a) the Athlete or other Person who is the subject of the decision being appealed; (b) the other party to the case in which the decision was rendered; (c) the relevant International Federation; and (d) WADA. For cases under Article 13.2.2, WADA and the International Federation shall also have the right to appeal to CAS with respect to the decision of the national-level reviewing body.

Notwithstanding any other provision herein, the only Person that may appeal from a Provisional Suspension is the Athlete or other Person upon whom the Provisional Suspension is imposed.

13.3 Appeals from Decisions Granting or Denying a Therapeutic Use Exemption
Decisions by WADA reversing the grant or denial of a therapeutic use exemption may be appealed exclusively to CAS by the Athlete or the Anti-Doping Organization whose decision was reversed. Decisions by Anti-Doping Organizations other than WADA denying therapeutic use exemptions, which are not reversed by WADA, may be appealed by International-Level Athletes to CAS and by
other Athletes to the national level reviewing body described in Article 13.2.2. If the national level reviewing body reverses the decision to deny a therapeutic use exemption, that decision may be appealed to CAS by WADA.

13.4 Appeals from Decisions Imposing Consequences under Part Three of the Code
With respect to consequences imposed under Part Three (Roles and Responsibilities) of the Code, the entity upon which consequences are imposed under Part Three of the Code shall have the right to appeal exclusively to CAS in accordance with the provisions applicable before such court.

13.5 Appeals from Decisions Suspending or Revoking Laboratory Accreditation
Decisions by WADA to suspend or revoke a laboratory’s WADA accreditation may be appealed only by that laboratory with the appeal being exclusively to CAS.

ARTICLE 14 CONFIDENTIALITY AND REPORTING

The Signatories agree to the principles of coordination of anti-doping results, public transparency and accountability and respect for the privacy interests of individuals alleged to have violated anti-doping rules as provided below:

14.1 Information Concerning Adverse Analytical Findings and Other Potential Anti-Doping Rule Violations
An Athlete whose Sample has resulted in an Adverse Analytical Finding, or an Athlete or other Person who may have violated an anti-doping rule, shall be notified by the Anti-Doping Organization with results management responsibility as provided in Article 7 (Results Management). The Athlete’s National Anti-Doping Organization and International Federation and WADA shall also be notified not later than the completion of the process described in Articles 7.1 and 7.2. Notification shall include: the Athlete’s name, country, sport and discipline within the sport, whether the test was In-Competition or Out-of-Competition, the date of Sample collection and the analytical result reported by the laboratory. The same Persons and Anti-Doping Organizations shall be regularly updated on the status and findings of any review or proceedings conducted pursuant to Articles 7 (Results Management), 8 (Right to a Fair Hearing) or 13 (Appeals), and, in any case in which the period of Ineligibility is eliminated under Article 10.5.1 (No Fault or Negligence), or reduced under Article 10.5.2 (No Significant Fault or Negligence), shall be provided with a written reasoned decision explaining the basis for the elimination or reduction. The recipient organizations shall not disclose this information beyond those persons within the organization with a need to know until the Anti-Doping Organization with results management responsibility has made public disclosure or has failed to make public disclosure as required in Article 14.2 below.

14.2 Public Disclosure
The identity of Athletes whose Samples have resulted in Adverse Analytical Findings, or Athletes or other Persons who were alleged by an Anti-Doping Organization to have violated other anti-doping rules, may be publicly disclosed by the Anti-Doping Organization with results management responsibility no earlier than completion of the administrative review described in Articles 7.1 and 7.2. No later than twenty days after it has been determined in a hearing in accordance with Article 8 that an anti-doping rule violation has occurred, or such hearing has been
waived, or the assertion of an anti-doping rule violation has not been timely challenged, the Anti-Doping Organization responsible for results management must publicly report the disposition of the anti-doping matter.

14.3 Athlete Whereabouts Information

Athletes who have been identified by their International Federation or National Anti-Doping Organization for inclusion in an Out-of-Competition Testing pool shall provide accurate, current location information. The International Federations and National Anti-Doping Organizations shall coordinate the identification of Athletes and the collecting of current location information and shall submit it to WADA. WADA shall make this information accessible to other Anti-Doping Organizations having authority to test the Athlete as provided in Article 15. This information shall be maintained in strict confidence at all times; shall be used exclusively for purposes of planning, coordinating or conducting Testing; and shall be destroyed after it is no longer relevant for these purposes.

14.4 Statistical Reporting

Anti-Doping Organizations shall, at least annually, publish publicly a general statistical report of their Doping Control activities with a copy provided to WADA.

14.5 Doping Control Information Clearing House

WADA shall act as a central clearing house for Doping Control Testing data and results for International-Level Athletes and national-level Athletes that have been included in their National Anti-Doping Organization’s Registered Testing Pool. To facilitate coordinated test distribution planning and to avoid unnecessary duplication in Testing by the various Anti-Doping Organizations, each Anti-Doping Organization shall report all In-Competition and Out-of-Competition tests on such Athletes to the WADA clearinghouse as soon as possible after such tests have been conducted. WADA shall make this information accessible to the Athlete, the Athlete’s National Federation, National Olympic Committee or National Paralympic Committee, National Anti-Doping Organization, International Federation, and the International Olympic Committee or International Paralympic Committee. Private information regarding an Athlete shall be maintained by WADA in strict confidence. WADA shall, at least annually, publish statistical reports summarizing such information.

ARTICLE 15: CLARIFICATION OF DOPING CONTROL RESPONSIBILITIES

15.1 Event Testing

The collection of Samples for Doping Control does and should take place at both International Events and National Events. However, only a single organization should be responsible for initiating and directing Testing during an Event. At International Events, the collection of Doping Control Samples shall be initiated and directed by the international organization which is the ruling body for the Event (e.g., the IOC for the Olympic Games, the International Federation for a World Championship, and PASO for the Pan American Games). If the international organization decides not to conduct any Testing at such an Event, the National Anti-Doping Organization for the country where the Event occurs may, in coordination with and with the approval of the international organization or WADA, initiate and conduct such Testing. At National Events, the collection of Doping Control Samples shall be initiated and directed by the designated National Anti-Doping Organization of that country.

15 Comment: To be effective, the anti-doping effort must involve many Anti-Doping Organizations conducting strong programs at both the international and national levels. Rather than limiting the responsibilities of one group in favor of the exclusive competency of the other, the Code manages potential problems associated with overlapping responsibilities, first by creating a much higher level of overall harmonization and second, by establishing rules of precedence and cooperation in specific areas.

15.1 Comment: The Anti-Doping Organization “initiating and directing testing” may, if it chooses, enter into agreements with other organizations to which it delegates responsibility for Sample collection or other aspects of the Doping Control process.
15.2 Out-of-Competition Testing

Out-of-Competition Testing is and should be initiated and directed by both international and national organizations. Out-of-Competition Testing may be initiated and directed by: (a) WADA; (b) the IOC or IPC in connection with the Olympic Games or Paralympic Games; (c) the Athlete’s International Federation; (d) the Athlete’s National Anti-Doping Organization; or (e) the National Anti-Doping Organization of any country where the Athlete is present. Out-of-Competition Testing should be coordinated through WADA in order to maximize the effectiveness of the combined Testing effort and to avoid unnecessary repeating Testing of individual Athletes.

15.3 Results Management, Hearings and Sanctions

Except as provided in Article 15.3.1 below, results management and hearings shall be the responsibility of and shall be governed by the procedural rules of the Anti-Doping Organization that initiated and directed Sample collection (or, if no Sample collection is involved, the organization which discovered the violation). Regardless of which organization conducts results management or hearings, the principles set forth in Articles 7 and 8 shall be respected and the rules identified in the Introduction to Part One to be incorporated without substantive change must be followed.

15.3.1 Results management and the conduct of hearings for an anti-doping rule violation arising from a test by, or discovered by, a National Anti-Doping Organization involving an Athlete that is not a citizen or resident of that country shall be administered as directed by the rules of the applicable International Federation. Results management and the conduct of hearings from a test by the International Olympic Committee, the International Paralympic Committee, or a Major Event Organization, shall be referred to the applicable International Federation as far as sanctions beyond Disqualification from the Event or the results of the Event.

15.4 Mutual Recognition

Subject to the right to appeal provided in Article 13, the Testing, therapeutic use exemptions and hearing results or other final adjudications of any Signatory which are consistent with the Code and are within that Signatory’s authority, shall be recognized and respected by all other Signatories. Signatories may recognize the same actions of other bodies which have not accepted the Code if the rules of those bodies are otherwise consistent with the Code.

ARTICLE 16: DOPING CONTROL FOR ANIMALS COMPETING IN SPORT

16.1 In any sport that includes animals in competition, the International Federation for that sport shall establish and implement anti-doping rules for the animals included in that sport. The anti-doping rules shall include a list of Prohibited Substances, appropriate Testing procedures and a list of approved laboratories for Sample analysis.
16.2 With respect to determining anti-doping rule violations, results management, fair hearings, *Consequences*, and appeals for animals involved in sport, the International Federation for that sport shall establish and implement rules that are generally consistent with Articles 1, 2, 3, 9, 10, 11, 13 and 17 of the *Code*.

### ARTICLE 17: STATUTE OF LIMITATIONS

No action may be commenced against an *Athlete* or other *Person* for a violation of an anti-doping rule contained in the *Code* unless such action is commenced within eight years from the date the violation occurred.

**17 Comment:** This does not restrict the Anti-Doping Organization from considering an earlier anti-doping violation for purposes of the sanction for a subsequent violation that occurs more than eight years later. In other words, a second violation ten years after a first violation is considered a second violation for sanction purposes.
PART TWO

EDUCATION
& RESEARCH
ARTICLE 18: EDUCATION

18.1 Basic Principle and Primary Goal
The basic principle for information and education programs shall be to preserve the spirit of sport as described in the Introduction to the Code, from being undermined by doping. The primary goal shall be to dissuade Athletes from using Prohibited Substances and Prohibited Methods.

18.2 Program and Activities
Each Anti-Doping Organization should plan, implement and monitor information and education programs. The programs should provide Participants with updated and accurate information on at least the following issues:

- Substances and methods on the Prohibited List
- Health consequences of doping
- Doping Control procedures
- Athletes’ rights and responsibilities

The programs should promote the spirit of sport in order to establish an anti-doping environment which influences behavior among Participants.

Athlete Support Personnel should educate and counsel Athletes regarding anti-doping policies and rules adopted pursuant to the Code.

18.3 Coordination and Cooperation
All Signatories and Participants shall cooperate with each other and governments to coordinate their efforts in anti-doping information and education.

ARTICLE 19: RESEARCH

19.1 Purpose of Anti-Doping Research
Anti-doping research contributes to the development and implementation of efficient programs within Doping Control and to anti-doping information and education.

19.2 Types of Research
Anti-doping research may include, for example, sociological, behavioral, juridical and ethical studies in addition to medical, analytical and physiological investigation.

19.3 Coordination
Coordination of anti-doping research through WADA is encouraged. Subject to intellectual property rights, copies of anti-doping research results should be provided to WADA.

19.4 Research Practices
Anti-doping research shall comply with internationally recognized ethical practices.

19.5 Research Using Prohibited Substances and Prohibited Methods
Research efforts should avoid the administration of Prohibited Substances or Prohibited Methods to Athletes.

19.6 Misuse of Results
Adequate precautions should be taken so that the results of anti-doping research are not misused and applied for doping.
PART THREE

ROLES & RESPONSIBILITIES
ARTICLE 20: ADDITIONAL ROLES AND RESPONSIBILITIES OF SIGNATORIES

20.1 Roles and Responsibilities of the International Olympic Committee

20.1.1 To adopt and implement anti-doping policies and rules for the Olympic Games which conform with the Code.

20.1.2 To require as a condition of recognition by the International Olympic Committee, that International Federations within the Olympic Movement are in compliance with the Code.

20.1.3 To withhold some or all Olympic funding of sport organizations that are not in compliance with the Code.

20.1.4 To take appropriate action to discourage non-compliance with the Code as provided in Article 23.5.

20.1.5 To authorize and facilitate the Independent Observer Program.

20.2 Roles and Responsibilities of the International Paralympic Committee

20.2.1 To adopt and implement anti-doping policies and rules for the Paralympic Games which conform with the Code.

20.2.2 To require as a condition of recognition by the International Paralympic Committee, that National Paralympic Committees within the Olympic Movement are in compliance with the Code.

20.2.3 To withhold some or all Paralympic funding of sport organizations that are not in compliance with the Code.

20.2.4 To take appropriate action to discourage non-compliance with the Code as provided in Article 23.5.

20.2.5 To authorize and facilitate the Independent Observer Program.

20.3 Roles and Responsibilities of International Federations

20.3.1 To adopt and implement anti-doping policies and rules which conform with the Code.

20.3.2 To require as a condition of membership that the policies, rules and programs of National Federations are in compliance with the Code.

20.3.3 To require all Athletes and Athlete Support Personnel within their jurisdiction to recognize and be bound by anti-doping rules in conformance with the Code.

20.3.4 To require Athletes who are not regularly members of the International Federation or one of its member National Federations to be available for Sample collection and provide accurate and up-to-date whereabouts information if required by the conditions for eligibility established by the International Federation or, as applicable, the Major Event Organization.

20.3.5 To monitor the anti-doping programs of National Federations.

20 Comment: Responsibilities for Signatories and Participants are addressed in various articles in the Code and the responsibilities listed in this part are additional to these responsibilities.

20.3.4 Comment: This would include, for example, Athletes from professional leagues.
20.3.6 To take appropriate action to discourage non-compliance with the Code as provided in Article 23.5.

20.3.7 To authorize and facilitate the Independent Observer program at International Events.

20.3.8 To withhold some or all funding to its member National Federations that are not in compliance with the Code.

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

20.4.1 To ensure that their anti-doping policies and rules conform with the Code.

20.4.2 To require as a condition of membership or recognition that National Federations’ anti-doping policies and rules are in compliance with the applicable provisions of the Code.

20.4.3 To require Athletes who are not regular members of a National Federation to be available for Sample collection and provide accurate and up-to-date whereabouts information on a regular basis if required during the year before the Olympic Games as a condition of participation in the Olympic Games.

20.4.4 To cooperate with their National Anti-Doping Organization.

20.4.5 To withhold some or all funding, during any period of his or her Ineligibility, to any Athlete or Athlete Support Personnel who has violated anti-doping rules.

20.4.6 To withhold some or all funding to its member or recognized National Federations that are not in compliance with the Code.

20.5 Roles and Responsibilities of National Anti-Doping Organizations

20.5.1 To adopt and implement anti-doping rules and polices which conform with the Code.

20.5.2 To cooperate with other relevant national organizations and other Anti-Doping Organizations.

20.5.3 To encourage reciprocal testing between National Anti-Doping Organizations.

20.5.4 To promote anti-doping research.

20.6 Roles and Responsibilities of Major Event Organizations

20.6.1 To adopt and implement anti-doping policies and rules for their Events which conform with the Code.

20.6.2 To take appropriate action to discourage non-compliance with the Code as provided in Article 23.5.

20.6.3 To authorize and facilitate the Independent Observer Program.

20.7 Roles and Responsibilities of WADA

20.7.1 To adopt and implement policies and procedures which conform with the Code.

20.7.2 To monitor the processing of Adverse Analytical Findings.

20.7.3 To approve International Standards applicable to the implementation of the Code.

20.7.4 To accredit laboratories to conduct Sample analysis or to approve others to conduct Sample analysis.
20.7.5 To develop and approve Models of Best Practice.

20.7.6 To promote, conduct, commission, fund and coordinate anti-doping research.

20.7.7 To conduct an effective Independent Observer Program.

20.7.8 To conduct Doping Controls as authorized by other Anti-Doping Organizations.

ARTICLE 21: ROLES AND RESPONSIBILITIES OF PARTICIPANTS

21.1 Roles and Responsibilities of Athletes

21.1.1 To be knowledgeable of and comply with all applicable anti-doping policies and rules adopted pursuant to the Code.

21.1.2 To be available for Sample collection.

21.1.3 To take responsibility, in the context of anti-doping, for what they ingest and use.

21.1.4 To inform medical personnel of their obligation not to Use Prohibited Substances and Prohibited Methods and to take responsibility to make sure that any medical treatment received does not violate anti-doping policies and rules adopted pursuant to the Code.

21.2 Roles and Responsibilities of Athlete Support Personnel

21.2.1 To be knowledgeable of and comply with all anti-doping policies and rules adopted pursuant to the Code and which are applicable to them or the Athletes whom they support.

21.2.2 To cooperate with the Athlete Testing program.

21.2.3 To use their influence on Athlete values and behavior to foster anti-doping attitudes.

ARTICLE 22: INVOLVEMENT OF GOVERNMENTS

Each government’s commitment to the Code will be evidenced by its signing a Declaration on or before the first day of the Athens Olympic Games to be followed by a process leading to a convention or other obligation to be implemented as appropriate to the constitutional and administrative contexts of each government on or before the first day of the Turin Winter Olympic Games.

It is the expectation of the Signatories that the Declaration and the convention or other obligation will reflect the following major points:

22.1 Affirmative measures will be undertaken by each government in support of anti-doping in at least the following areas:

- Support for national anti-doping programs;
- The availability of Prohibited Substances and Prohibited Methods;
- Facilitate access for WADA to conduct Out-of-Competition Doping Controls;
- The problem of nutritional supplements which contain undisclosed Prohibited Substances; and
- Withholding some or all financial support from sport organizations and Participants that are not in compliance with the Code or applicable anti-doping rules adopted pursuant to the Code.

22 Comment: Most governments cannot be parties to, or be bound by, private non-governmental instruments such as the Code. For that reason, governments are not asked to be Signatories to the Code. However, the effort to combat doping through the coordinated and harmonized program reflected in the Code is very much a joint effort between the sport movement and governments. An example of one type of obligation referred to above is the convention discussed in the Final Communiqué of the UNESCO Round Table of Ministers and Senior Officials Responsible for Physical Education and Sport held in Paris on 9/10 January 2003.
22.2 All other governmental involvement with anti-doping will be brought into harmony with the Code.

22.3 Ongoing compliance with the commitments reflected in the convention or other obligation will be monitored as determined in consultation between WADA and the applicable government(s).
PART FOUR

ACCEPTANCE, COMPLIANCE, MODIFICATION & INTERPRETATION
ARTICLE 23: ACCEPTANCE, COMPLIANCE AND MODIFICATION

23.1 Acceptance of the Code

23.1.1 The following entities shall be Signatories accepting the Code: WADA, The International Olympic Committee, International Federations, The International Paralympic Committee, National Olympic Committees, National Paralympic Committees, Major Event Organizations, and National Anti-Doping Organizations. These entities shall accept the Code by signing a declaration of acceptance upon approval by each of their respective governing bodies.

23.1.2 Other sport organizations that may not be under the control of a Signatory may, upon WADA’s invitation, also accept the Code.

23.1.3 A list of all acceptances will be made public by WADA.

23.2 Implementation of the Code

23.2.1 The Signatories shall implement applicable Code provisions through policies, statutes, rules or regulations according to their authority and within their relevant spheres of responsibility.

23.2.2 In implementing the Code, the Signatories are encouraged to use the Models of Best Practice recommended by WADA.

23.3 Acceptance and Implementation Deadlines

23.3.1 Signatories shall accept and implement the Code on or before the first day of the Athens Olympic Games.

23.3.2 The Code may be accepted after the above-referenced deadlines; however, Signatories shall not be considered in compliance with the Code until they have accepted the Code (and that acceptance has not been withdrawn).

23.4 Monitoring Compliance with the Code

23.4.1 Compliance with the Code shall be monitored by WADA or as otherwise agreed by WADA.

23.4.2 To facilitate monitoring, each Signatory shall report to WADA on its compliance with the Code every second year and shall explain reasons for noncompliance.

23.4.3 WADA shall consider explanations for non-compliance and, in extraordinary situations, may recommend to the International Olympic Committee, International Paralympic Committee, International Federations, and Major Event Organizations that they provisionally excuse the non-compliance.

23.4.3 Comment: WADA recognizes that amongst Signatories and governments, there will be significant differences in anti-doping experience, resources, and the legal context in which anti-doping activities are carried out. In considering whether an organization is compliant, WADA will consider these differences.

23.1.1 Comment: Each accepting Signatory will separately sign an identical copy of the standard form common declaration of acceptance and deliver it to WADA. The act of acceptance will be as authorized by the organic documents of each organization. For example, an International Federation by its Congress and WADA by its Foundation Board.

23.1.2 Comment: Those professional leagues that are not currently under the jurisdiction of any government or International Federation will be encouraged to accept the Code.
23.4.4 WADA shall, after dialogue with the subject organization, make reports on compliance to the International Olympic Committee, the International Paralympic Committee, International Federations, and Major Event Organizations. These reports shall also be made available to the public.

23.5 Consequences of Noncompliance with the Code

23.5.1 Noncompliance with the Code by either the government or National Olympic Committee of a country may result in consequences with respect to Olympic Games, Paralympic Games, World Championships or the Events of Major Event Organizations as determined by the ruling body for each Event. The imposition of such consequences may be appealed by the National Olympic Committee or government to CAS pursuant to Article 13.4.

23.6 Modification of the Code

23.6.1 WADA shall be responsible for overseeing the evolution and improvement of the Code. Athletes and all Signatories and governments shall be invited to participate in such process.

23.6.2 WADA shall initiate proposed amendments to the Code and shall ensure a consultative process to both receive and respond to recommendations and to facilitate review and feedback from Athletes, Signatories and governments on recommended amendments.

23.6.3 Amendments to the Code shall, after appropriate consultation, be approved by a two-thirds majority of the WADA Foundation Board including a majority of both the public sector and Olympic Movement members casting votes. Amendments shall, unless provided otherwise, go into effect three months after such approval.

23.6.4 Signatories shall implement any applicable amendment to the Code within one year of approval by the WADA Foundation Board.

23.7 Withdrawal of Acceptance of the Code

23.7.1 Signatories may withdraw acceptance of the Code after providing WADA six-month’s written notice of their intent to withdraw.

ARTICLE 24: INTERPRETATION OF THE CODE

24.1 The official text of the Code shall be maintained by WADA and shall be published in English and French. In the event of any conflict between the English and French versions, the English version shall prevail.

24.2 The comments annotating various provisions of the Code are included to assist in the understanding and interpretation of the Code.

24.3 The Code shall be interpreted as an independent and autonomous text and not by reference to the existing law or statutes of the Signatories or governments.
24.4 The headings used for the various Parts and Articles of the Code are for convenience only and shall not be deemed part of the substance of the Code or to affect in any way the language of the provisions to which they refer.

24.5 The Code shall not apply retrospectively to matters pending before the date the Code is accepted by a Signatory and implemented in its rules.

24.6 APPENDIX I Definitions shall be considered an integral part of the Code.

24.5 \textbf{Comment}: For example, conduct which is an anti-doping rule violation described in the Code, but which is not a violation under an International Federation's pre-Code rules, would not be a violation until the International Federation's rules are changed.

Pre-Code anti-doping rule violations would continue to count as "First violations" or "Second violations" for purposes of determining sanctions under Article 10 for subsequent post-Code violations.
APPENDIX 1
DEFINITIONS
Attest: 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 renunciates the attempt prior to it being discovered by a third party not involved in the Attempt.


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

Consequences of Anti-Doping Rules Violations: An Athlete’s or other Person’s violation of an anti-doping rule may result in one or more of the following: (a) Disqualification means the Athlete’s results in a particular Competition or Event are invalidated, with all resulting consequences including forfeiture of any medals, points and prizes; (b) Ineligibility means the Athlete or other Person is barred for a specified period of time from participating in any Competition or other activity or funding as provided in Article 10.9; and (c) Provisional Suspension means the Athlete or other Person is barred temporarily from participating in any Competition prior to the final decision at a hearing conducted under Article 8 (Right to a Fair Hearing).

Disqualification: See Consequences of Anti-Doping Rules Violations above.

Doping Control: The process including test distribution planning, Sample collection and handling, laboratory analysis, results management, hearings and appeals.

Event: A series of individual Competitions conducted together under one ruling body (e.g., the Olympic Games, FINA World Championships, or Pan American Games).
**In-Competition:** For purposes of differentiating between In-Competition and Out-of-Competition Testing, unless provided otherwise in the rules of an International Federation or other relevant Anti-Doping Organization, an In-Competition test is a test where an Athlete is selected for testing in connection with a specific Competition.

**Independent Observer Program:** A team of observers, under the supervision of WADA, who observe the Doping Control process at certain Events and report on observations. If WADA is testing In-Competition at an Event, the observers shall be supervised by an independent organization.

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

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

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

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

**In-Competition Comment:** The distinction between In-Competition and Out-of-Competition testing is significant because the full Prohibited List is only tested for In-Competition. Prohibited stimulants, for example, are not tested for Out-of-Competition because they have no performance enhancing benefit unless they are in the Athlete’s system while the Athlete is actually competing. So long as the prohibited stimulant has cleared the Athlete’s system at the time the Athlete competes, it makes no difference whether that stimulant could have been found in the Athlete’s urine the day before or the day after the Competition.

**Major Event Organizations:** This term refers to the continental associations of National Olympic Committees and other international multi-sport organizations that function as the ruling body for any continental, regional or other International Event.

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

**Metabolite:** Any substance produced by a biotransformation process.

**Minor:** A natural Person who has not reached the age of majority as established by the applicable laws of his or her country of residence.

**National Anti-Doping Organization:** The entity(ies) designated by each country as possessing the primary authority and responsibility to adopt and implement anti-doping rules, direct the collection of Samples, the management of test results, and the conduct of hearings, all at the national level. 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 involving international or national-level Athletes that is not an International Event.

**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.

**No Advance Notice:** A Doping Control which takes place with no advance warning to the Athlete and where the Athlete is continuously chaperoned from the moment of notification through Sample provision.
No Fault or Negligence: The Athlete’s establishing that he or she did not know or suspect, and could not reasonably have known or suspected even with the exercise of utmost caution, that he or she had Used or been administered the Prohibited Substance or Prohibited Method.

No Significant Fault or Negligence: The Athlete’s establishing that his or her fault or negligence, when viewed in the totality of the circumstances and taking into account the criteria for No Fault or Negligence, was not significant in relationship to the anti-doping rule violation.

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

Participant: Any Athlete or Athlete Support Personnel.

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

Possession: The actual, physical possession, or the constructive possession (which shall be found only if the Person has exclusive control over the Prohibited Substance/Method or the premises in which a Prohibited Substance/Method exists); provided, however, that if the Person does not have exclusive control over the Prohibited Substance/Method or the premises in which a Prohibited Substance/Method exists, constructive possession shall only be found if the Person knew about the presence of the Prohibited Substance/Method and intended to exercise control over it. Provided, however, there shall be no anti-doping rule violation based solely on possession if, prior to receiving notification of any kind that the Person has committed an anti-doping rule violation, the Person has taken concrete action demonstrating that the Person no longer intends to have Possession and has renounced the Person’s previous Possession.

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

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

Prohibited Substance: Any substance so described on the Prohibited List.

Provisional Hearing: For purposes of Article 7.5, an expedited abbreviated hearing occurring prior to a hearing under Article 8 (Right to a Fair Hearing) that provides the Athlete with notice and an opportunity to be heard in either written or oral form.

Provisional Suspension: See Consequences above.

Publicly Disclose or Publicly Report: To disseminate or distribute information to the general public or persons beyond those persons entitled to earlier notification in accordance with Article 14.

Registered Testing Pool: The pool of top level Athletes established separately by each International Federation and National Anti-Doping Organization who are subject to both In-Competition and Out-of-Competition Testing as part of that International Federation’s or Organization’s test distribution plan.

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

Possession Comment: Under this definition, steroids found in an Athlete’s car would constitute a violation unless the Athlete establishes that someone else used the car; in that event, the Anti-Doping Organization must establish that, even though the Athlete did not have exclusive control over the car, the Athlete knew about the steroids and intended to have control over the steroids. Similarly, in the example of steroids found in a home medicine cabinet under the joint control of an Athlete and spouse, the Anti-Doping Organization must establish that the Athlete knew the steroids were in the cabinet and that the Athlete intended to exercise control over the steroids.

Registered Testing Pool Comment: Each International Federation shall clearly define the specific criteria for inclusion of Athletes in its Registered Testing Pool. For example, the criteria could be a specified world ranking cut-off, a specified time standard, membership on a national team, etc.
Signatories: Those entities signing the Code and agreeing to comply with the Code, including the International Olympic Committee, International Federations, International Paralympic Committee, National Olympic Committees, National Paralympic Committees, Major Event Organizations, National Anti-Doping Organizations, and WADA.

Tampering: Altering for an improper purpose or in an improper way; bringing improper influence to bear; interfering improperly to alter results or prevent normal procedures from occurring.

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

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

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

Trafficking: To sell, give, administer, transport, send, deliver or distribute a Prohibited Substance or Prohibited Method to an Athlete either directly or through one or more third parties, but excluding the sale or distribution (by medical personnel or by Persons other than an Athlete’s Support Personnel) of a Prohibited Substance for genuine and legal therapeutic purposes.

Use: The application, ingestion, injection or consumption by any means whatsoever of any Prohibited Substance or Prohibited Method.

The World Anti-Doping Code

INTERNATIONAL STANDARD FOR LABORATORIES

Version 4.0

August 2004
PREAMBLE

The World Anti-Doping Code International Standard for Laboratories is a mandatory level 2 International Standard developed as part of the World Anti-Doping Program.

The basis for the International Standard for Laboratories is the relevant Sections in the Olympic Movement Anti-Doping Code. An expert group, together with a WADA Laboratory Accreditation Committee, has prepared the document and drafts have been circulated for initial review and comment from all IOC accredited doping Laboratories and the IOC Sub-Commission on Doping and Biochemistry of Sport.

Version 1.0 of the International Standard for Laboratories was circulated to Signatories, governments and accredited laboratories for review and comments in November 2002. Version 2.0 was based on the comments and proposals received from these stakeholders.

All Signatories, governments and Laboratories were consulted and have had the opportunity to review and provide comments to version 2.0. This draft version 3.0 was presented for approval to the WADA Executive Committee on June 7th 2003.

The International Standard for Laboratories will come into effect on January 1st 2004.

Currently, Laboratories are accredited by the International Olympic Committee (IOC). As part of the transition of the program from existing IOC accreditation to WADA accreditation, accreditation bodies shall require the Laboratories to which they grant and maintain accreditation to comply with the requirements of the International Standard for Laboratories and ISO/IEC 17025 by January 1st, 2004. For Laboratories moving from IOC to WADA accreditation (see Section 4.1.7), an internal audit before January 1st, 2004 shall be deemed compliant with the International Standard for Laboratories. The next ISO surveillance or re-accreditation audit conducted by the national accrediting body in 2004 shall document compliance with the International Standard for Laboratories. Laboratories seeking initial WADA accreditation shall have an on-site accreditation audit by their national accrediting body compliant with this standard before receiving WADA accreditation.

The official text of the International Standard for Laboratories shall be maintained by WADA and shall be published in English and French. In the event of any conflict between the English and French versions, the English version shall prevail.
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PART ONE: INTRODUCTION, CODE PROVISIONS AND DEFINITIONS

1.0 Introduction, Scope and References

The main purpose of the International Standard for Laboratories is to ensure laboratory production of valid test results and evidentiary data and to achieve uniform and harmonized results and reporting from all accredited Doping Control Laboratories.

The International Standard for Laboratories includes requirements for WADA accreditation of doping laboratories, operating standards for laboratory performance and description of the accreditation process.

The International Standard for Laboratories, including all Annexes and Technical Documents, is mandatory for all Signatories to the Code.

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

In the introduction to the World Anti-Doping Code (Code), the purpose and implementation of the International Standards are summarized as follows:

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

Compliance with an International Standard (as opposed to another alternative standard, practice or procedure) shall be sufficient to conclude that the procedures covered by the International Standard were performed properly.

This document sets out the requirements for Doping Control Laboratories that wish to demonstrate that they are technically competent, operate an effective quality management system, and are able to produce forensically valid results. Doping Control Testing involves the detection, identification, and in some cases demonstration of the presence greater than a threshold concentration of drugs and other substances deemed to be prohibited by the list of Prohibited Substances and Prohibited Methods (The Prohibited List) in human biological fluids or tissues.
The Laboratory accreditation framework consists of two main elements: Part Two of the standard: the Laboratory accreditation requirements and operating standards; and Part Three: the Annexes and Technical Documents. Part Two describes the requirements necessary to obtain WADA recognition and the procedures involved to fulfill the requirements. It also contains an application of the ISO/IEC 17025 standard to the field of Doping Control. The purpose of this section of the document is to facilitate consistent application and assessment of the ISO/IEC 17025 and the specific WADA requirements for Doping Control by accreditation bodies that operate in accordance with ISO/IEC Guide 58. The International Standard also sets forth the requirements for Doping Control Laboratories when adjudication results as a consequence of an Adverse Analytical Finding.

Part Three of the Standard includes all Annexes. Annex A describes the WADA Proficiency Testing Program, including performance criteria necessary to maintain good standing in proficiency testing. Annex B describes the ethical standards required for continued WADA recognition of the Laboratory. Annex C is a list of Technical Documents. Technical Documents are issued, modified, and deleted by WADA from time to time and provide direction to the Laboratories on specific technical issues. Once promulgated, Technical Documents become part of the International Standard for Laboratories. The incorporation of the provisions of the Technical Documents into the Laboratory’s quality management system is mandatory for WADA accreditation.

In order to harmonize the accreditation of Laboratories to the requirements of ISO/IEC 17025 and the WADA-specific requirements for recognition, it is expected that national accreditation bodies will use this standard, including the annexes, as a reference document in their accreditation audit process.

Terms defined in the Code, which are included in this standard, are written in italics. Terms, which are defined in this standard, are underlined.

References

These following references were consulted in the development of this document. The specific requirements and concepts of these documents do not supersede or otherwise change the requirements stated in the International Standard for Laboratories.


Olympic Movement Anti-Doping Code (1999)

Society of Forensic Toxicology and American Academy of Forensic Sciences, Toxicology Section, 2002 (Draft). Forensic Toxicology Laboratory Guidelines.


World Anti-Doping Code
2.0 Code Provisions

The following articles in the Code directly address the International Standard for Laboratories:

Code Article 3.2 Methods of Establishing Facts and Presumptions

3.2.1 WADA-accredited Laboratories are presumed to have conducted Sample analysis and custodial procedures in accordance with the International Standard for laboratory analysis. The Athlete may rebut this presumption by establishing that a departure from the International Standard occurred. If the Athlete rebuts the preceding presumption by showing that a departure from the International Standard occurred, then the Anti-Doping Organization shall have the burden to establish that such departure did not cause the Adverse Analytical Finding.

Code Article 6 Analysis of Samples

Doping Control Samples shall be analyzed in accordance with the following principles:

6.1 Use of Approved Laboratories Doping Control Samples shall be analyzed only in WADA-accredited laboratories or as otherwise approved by WADA. The choice of the WADA-accredited laboratory (or other method approved by WADA) used for the Sample analysis shall be determined exclusively by the Anti-Doping Organization responsible for results management. [Comment: The phrase “or other method approved by WADA” is intended to cover, for example, mobile blood Testing procedures which WADA has reviewed and considers to be reliable.]

6.2 Substances Subject to Detection. Doping Control Samples shall be analyzed to detect Prohibited Substances and Prohibited Methods identified on the Prohibited List and other substances as may be directed by WADA pursuant to Article 4.5 (Monitoring Program).

6.3 Research on Samples. No Sample may be used for any purpose other than the detection of substances (or classes of substances) or methods on the Prohibited List, or as otherwise identified by WADA pursuant to Article 4.5 (Monitoring Program), without the Athlete’s written consent.

6.4 Standards for Sample Analysis and Reporting. Laboratories shall analyze Doping Control Samples and report results in conformity with the International Standard for Laboratories analysis.

Code Article 13.5 Appeals from Decisions Suspending or Revoking Laboratory Accreditation

Decisions by WADA to suspend or revoke a Laboratory’s WADA accreditation may be appealed only by that Laboratory with the appeal being exclusively to CAS.

Code Article 14.1 Information Concerning Adverse Analytical Findings and Other Potential Anti-Doping Rule Violations. An Athlete whose Sample has resulted in an Adverse Analytical Finding, or an Athlete or other Person who may have violated an anti-doping rule, shall be notified by the Anti-Doping Organization with results management responsibility as provided in Article 7 (Results Management). The Athlete’s National Anti-Doping Organization and International Federation and WADA shall also be notified not later than the completion of the process described in Articles 7.1 and 7.2. Notification shall include: the Athlete’s name, country, sport and discipline within the sport, whether the test was In-Competition or Out-of-Competition, the date of Sample collection and the analytical result reported by the laboratory. The same Persons and Anti-Doping Organizations shall be regularly updated on the status and findings of any review or proceedings conducted pursuant to Articles 7 (Results Management), 8 (Right to a Fair Hearing) or 13 (Appeals), and, in any case in which the period of Ineligibility is eliminated under Article 10.5.1 (No Fault or Negligence), or reduced under Article 10.5.2 (No Significant Fault or Negligence), shall be provided with a written reasoned decision explaining the basis for the elimination or reduction. The recipient organizations shall not disclose this information beyond those Persons within the organization with a need to know until the Anti-Doping Organization with
results management responsibility has made public disclosure or has failed to make public disclosure as required in Article 14.2.

3.0 Terms and definitions

3.1 Code defined Terms

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

**Anti-Doping Organization:** 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, Major Event Organizations that conduct Testing at their Events, WADA, International Federations, and National Anti-Doping Organizations.

**Athlete:** For purposes of Doping Control, any Person who participates in sport at the international level (as defined by each International Federation) or national level (as defined by each National Anti-Doping Organization) and any additional Person who participates in sport at a lower level if designated by the Person’s National Anti-Doping Organization. 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.

**Code:** The World Anti-Doping Code.

**Doping Control:** The process including test distribution planning, Sample collection and handling, Laboratory analysis, results management, hearings and appeals.

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

**In-competition:** For purposes of differentiating between In-competition and Out-of-competition Testing, unless provided otherwise in the rules of an International Federation or other relevant Anti-Doping Organization, an In-competition test is a test where an Athlete is drawn for Testing in connection with a specific Competition.

**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 covered by the International Standard were performed properly.

**Marker:** A compound, group of compounds or biological parameters that indicates the Use of a Prohibited Substance or Prohibited Method.
**Metabolite**: Any substance produced by a biotransformation process.

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

**National Olympic Committee**: 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 Doping Control which is not In-competition.

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

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

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

**Prohibited Substance**: Any substance so described on the Prohibited List.

**Publicly Disclose or Publicly Report**: To disseminate or distribute information to the general public or Persons beyond those Persons entitled to earlier notification in accordance with Article 14.

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

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

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

**Use**: The application, ingestion, injection or consumption by any means whatsoever of any Prohibited Substance or Prohibited Method.

**WADA**: The World Anti-Doping Agency.
3.2 Defined Terms from the *International Standard* for Laboratories

**Aliquot:** A portion of the *Sample* of biological fluid or tissue (e.g., urine, blood, etc.) obtained from the *Athlete* used in the testing process.

**Certified Reference Material:** *Reference Material*, accompanied by a certificate, one or more whose property values are certified by a procedure which establishes its traceability to an accurate realization of the unit in which the property values are expressed, and for which each certified value is accompanied by an uncertainty at a stated level of confidence.

**Confirmation Procedure:** An analytical test procedure whose purpose is to identify the presence of a specific *Prohibited Substance* in a *Sample*. [Comment: A Confirmation Procedure may also indicate a quantity of Prohibited Substance greater than a threshold value or quantify the amount of a Prohibited Substance in a Sample.]

**Flexible Accreditation:** Approval for a *Laboratory* to make restricted modifications in the scope of the accreditation without the involvement of the national accreditation body before the modifications are implemented.

**Intermediate Precision, \( s_{2i} \):** Variation in results observed when one or more factors, such as time, equipment, and operator are varied within a *Laboratory* with \( i \) denoting the number of factors varied.

**Laboratory Internal Chain of Custody:** Documentation of the sequence of *Persons* in possession of the *Sample* and any portions of the *Sample* taken for *Testing*. [Comment: Laboratory Internal Chain of Custody is generally documented by a written record of the date, location, action taken, and the individual performing an action with a Sample or Aliquot.]

**Laboratory:** An accredited laboratory applying test methods and processes to provide evidentiary data for the detection and, if applicable, quantification of a *Threshold Substance* on the *Prohibited List* in urine and other biological *Samples*.

**Laboratory Documentation Packages:** The material produced by the *Laboratory* to support the finding of an *Adverse Analytical Finding* as set forth in the *WADA* Technical Document for Laboratory Documentation Packages.

**Minimum Required Performance Limit:** A concentration of a *Prohibited Substance* or *Metabolite* of a *Prohibited Substance* or *Marker* of a *Prohibited Substance* or Method that a doping *Laboratory* is expected to reliably detect in the routine daily operation of the *Laboratory*. See Technical Document Minimum Required Performance Limits for Detection of Prohibited Substances.

**Non-threshold Substance:** A substance listed on the *Prohibited List* for which the documentable detection of any amount is considered an anti-doping rule violation.
Presumptive Analytical Finding: The status of a Sample test result for which there is an adverse screening test, but a confirmation test has not been performed.

Reference Collection: A collection of samples of known origin that may be used in the determination of the identity of an unknown substance. For example, a well characterized sample obtained from a verified administration study in which scientific documentation of the identity of Metabolite(s) can be demonstrated.

Reference Material: Material or substance one or more of whose properties are sufficiently homogeneous and well established to be used for the calibration of an apparatus, the assessment of a measurement method or for assigning values to materials.

Repeatability, $s$: Variability observed within a laboratory, over a short time, using a single operator, item of equipment, etc.

Reproducibility, $s_R$: Variability obtained when different laboratories analyze the same Sample.

Revocation: The permanent withdrawal of a Laboratory’s WADA accreditation.

Screening Procedure: An analytical test procedure whose purpose is to identify those Samples which are suspicious with respect to containing a Prohibited Substance or Metabolite or Marker of a Prohibited Method and which require additional confirmation testing.

Split Sample: Division of a Sample taken for testing into two portions at collection, usually designated “A” and “B.”

Suspension: The temporary withdrawal of a Laboratory’s WADA accreditation.

Testing Authority: The International Olympic Committee, World Anti-Doping Agency, International Federation, National Sport Organization, National Anti-Doping Organization, National Olympic Committee, Major Event Organization, or other authority defined by the Code responsible for Sample collection and transport either In-Competition or Out-of-Competition and/or for management of the test result.

Threshold Substance: A substance listed in the Prohibited List for which the detection of an amount in excess of a stated threshold is considered an Adverse Analytical Finding.
PART TWO: LABORATORY ACCREDITATION REQUIREMENTS AND OPERATING STANDARDS

4.0 Requirements for WADA accreditation

4.1 Initial WADA accreditation

This section describes the specific requirements for the initial WADA accreditation of the laboratory. All the requirements must be fulfilled in order to obtain an initial WADA accreditation. For some of the requirements, the laboratory has to demonstrate compliance during the probationary period and for other requirements compliance will be checked and controlled based on an accreditation audit (ref. 5.1, 5.2 and 5.3).

4.1.1 ISO/IEC 17025
The laboratory shall be accredited by a relevant national accreditation body according to ISO/IEC 17025 with primary reference to the interpretations and applications of the ISO/IEC 17025 requirements as they are described in Application of ISO/IEC 17025 to the Analysis of Doping Control Samples (Section 5). The ISO/IEC 17025 accreditation must be obtained before the initial WADA accreditation will be given.

4.1.2 Letter of support
The laboratory shall provide an official letter of support from the relevant national public authority responsible for the national anti-doping program, if any, or a similar letter of support from the National Olympic Committee or National Anti-Doping Organization. The letter of support shall contain as a minimum:

- Guarantee of sufficient financial support annually for a minimum of 3 years
- Guarantee of sufficient numbers of Samples annually for 3 years
- Guarantee of provision of necessary analytical facilities and instrumentation, where applicable

In addition, any explanation of exceptional circumstances shall be given due consideration by WADA. The three year letter of support does not in any way require exclusive support for only one laboratory.

Letters of support from international sport organizations such as International Federations could also be provided in addition to the above mentioned letters.

If the laboratory as an organization is linked to host organizations, (e.g. universities, hospitals...) an official letter of support from the host organizations shall be provided which should include the following information:

- Documentation of the administrative support for the laboratory
- Financial support for the laboratory, if relevant
- Support for the research and development activities
- Guarantee of provision of necessary analytical facilities and instrumentation

4.1.3 Code of Ethics
The laboratory shall sign and comply with the provision in the Code of Ethics (Annex B) which are relevant for a laboratory in the probationary period.

4.1.4 Proficiency testing program
During the probationary period the laboratory shall successfully analyze at a minimum four sets of proficiency testing samples containing at a minimum five samples per set.

The final accreditation test shall assess both the scientific competence and the capability of the laboratory to manage multiple Samples.

4.1.5 Sharing of knowledge
The laboratory shall demonstrate during the probationary period its willingness and ability to share knowledge with other WADA Accredited Laboratories. A description of this sharing is provided in the Code of Ethics (Annex B).

4.1.6 Research
The laboratory shall demonstrate in its budget an allocation to research and development activities in the field of Doping Control of at least 7% of the annual budget for the initial 3-year period. The research activities can either be conducted by the laboratory or in cooperation with other WADA-accredited Laboratories or other research organizations.

4.1.7 Initial accreditation of Laboratories holding IOC accreditation
Laboratories accredited by the IOC in 2003 and which successfully complete the joint 2003 IOC/WADA re-accreditation test and at a minimum conduct an internal audit against Section 5 of the Internal Standard for Laboratories will receive WADA accreditation in 2004. The International Standards for Laboratories requirements will be fully in effect on January 1st, 2004. Laboratories that are downgraded or fail the 2003 IOC/WADA re-accreditation test will have their accreditation suspended or revoked by WADA in accordance with Section 6.4.8. Laboratories which have applied for, but have not received, IOC accreditation will complete their probationary period under the International Standards for Laboratories.

4.2 Maintaining WADA Accreditation
This section describes the specific requirements for a WADA re-accreditation of the Laboratory.

4.2.1 ISO/IEC 17025 accreditation
The Laboratory shall document a valid accreditation from the national accreditation body according to ISO/IEC 17025 with primary reference to the interpretations and applications of the ISO/IEC 17025 requirements as described in the Application of ISO/IEC 17025 to Analysis of Doping Control Samples (Section 5).
4.2.2 Flexible Accreditation

WADA accredited Laboratories may add or modify scientific methods or add analytes without the need for approval by the body that completed the ISO/IEC 17025 accreditation of that Laboratory. Any analytical method or procedure must be properly selected and validated and included in the scope of the Laboratory at the next ISO audit if the method is used for analysis of Doping Control Samples.

4.2.3 Letter of support

The Laboratory shall provide a renewed official letter of support from the relevant national public authority responsible for the national anti-doping program, if any, or a similar letter of support from the National Olympic Committee or National Anti-Doping Organization in years in which the Laboratory undergoes an ISO re-accreditation audit. The renewed letter of support shall contain as a minimum:

- Guarantee of sufficient financial support annually for a minimum of 3 years
- Guarantee of sufficient numbers of Samples annually
- Guarantee of provision of necessary analytical facilities and instrumentation, where applicable

Any explanation of exceptional circumstances shall be given due consideration by WADA. The letter of support does not in any way require exclusive support for only one Laboratory.

Letters of support from international sport organizations such as International Federations could also be provided in addition to the above mentioned letters.

If the Laboratory as an organization is linked to host organizations (e.g. university, hospital...), an official letter of support from the host organizations shall be renewed for each year in which the Laboratory undergoes a ISO re-accreditation audit and shall include the following information:

- Documentation of the administrative support for the Laboratory
- Financial support for the Laboratory, if relevant
- Guarantee of provision of necessary analytical facilities and instrumentation
- Support for the research activities

4.2.4 Minimum number of testing Samples

The Laboratory shall periodically provide, at the request of WADA a report documenting all test results reported in a format to be specified by WADA.

In order to maintain proficiency, WADA-accredited Laboratories are required to analyze a minimum of 1500 Doping Control Samples per year that are provided by a Testing Authority. If the Laboratory fails to analyze this number of Samples, accreditation will be suspended or revoked, dependent on the circumstances.
4.2.5 Proficiency testing program
The Laboratories are required to successfully participate in the WADA Proficiency Testing program. The program is described in more detail in Annex A.

4.2.6 Reporting
The Laboratory shall simultaneously report to WADA and the relevant International Federation all Adverse Analytical Findings that have been reported to a Testing Authority. All reporting shall be in accord with the confidentiality requirements of the Code.

4.2.7 Code of Ethics
The Laboratory shall provide documentation of compliance with the provisions of the Code of Ethics (Annex B) relevant for a WADA accredited Laboratory. The Laboratory Director shall send a letter of compliance to WADA every year.

4.2.8 Sharing of knowledge
The Laboratory shall demonstrate their willingness and ability to share knowledge with other WADA Accredited Laboratories. A description of this sharing is provided in the Code of Ethics (Annex B).

4.2.9 Research
The Laboratory shall maintain an updated 3-year plan for research and development in the field of Doping Control, including an annual budget in this area.

The Laboratory should document the publication of results of the research in relevant scientific papers in the peer-reviewed literature. These documents shall be made available to WADA upon request. The Laboratory may also demonstrate a research program by documenting successful or pending applications for research grants.

4.3 Special Requirements for Major Events
The Laboratory support for the Olympic Games and other major Events may be such that the accredited Laboratory facilities are not adequate. This may require re-location of the Laboratory to a new facility, the addition of personnel, or the acquisition of additional equipment. The Laboratory Director of the WADA-accredited Laboratory designated to perform the testing shall be responsible to ensure that the quality management system is maintained.

4.3.1 Satellite facility of an accredited Laboratory
If the Laboratory is required to move or extend its operation temporarily to a new physical location, the Laboratory must demonstrate a valid ISO/IEC 17025 accreditation with primary compliance with the Application of ISO/IEC 17025 to the Analysis of Doping Control Samples for the new facility (“satellite facility”).

Any methods or equipment unique to the satellite facility must be validated prior to the satellite facility accreditation audit. Any changes to methods or other procedures in the quality manual must also be validated prior to the audit.
4.3.2 Personnel
The Laboratory shall report to WADA any senior personnel (e.g., certifying scientists, quality system management staff, supervisors, etc.) temporarily working in the Laboratory. The Laboratory Director shall ensure that these personnel are adequately trained in the methods, policies, and procedures of the Laboratory. Particular emphasis should be given to the Code of Ethics and the confidentiality of the results management process. Adequate documentation of training of these temporary employees should be maintained by the Laboratory.

4.3.3 Proficiency testing
WADA may, at its sole discretion, submit proficiency testing samples to the Laboratory for analysis. The samples shall be analyzed by the same methods used in the testing of Samples from a Testing Authority. These samples may be part of the ISO/IEC 17025 audit in conjunction with the national accrediting body. Failure(s) to successfully complete the proficiency test will be considered by WADA in deciding whether to accredit the Laboratory. In the event of an unacceptable report, the Laboratory shall document the changes instituted to remedy the failure.

The proficiency testing process should include any additional personnel that are added to the staff for the major Event. The samples should be analyzed using the protocols and procedures that will be used for analysis of Samples for the Event.

4.3.4 Reporting
The Laboratory shall document that the reporting of test results maintains confidentiality.

5.0 Application of ISO 17025 to the Analysis of Doping Control Samples

5.1 Introduction and Scope
This section of the document is intended as an application as described in Annex B.4 (Guidelines for establishing applications for specific fields) of ISO/IEC 17025 for the field of Doping Control. Any aspect of testing or management not specifically discussed in this document shall be governed by ISO/IEC 17025 and, where applicable, by ISO 9001. The application focuses on the specific parts of the processes that are critical with regard to the quality of the laboratory’s performance as a Doping Control Laboratory. These processes have been determined to be critical to the defined ISO 17025 criteria and are therefore determined to be significant in the evaluation and accreditation process.

This section introduces the specific performance standards for a Doping Control Laboratory. The conduct of testing is considered a process within the definitions of ISO 9001. Performance standards are defined according to a process model where the Doping Control Laboratory practice is structured into three main categories of processes:
Wherever possible, the application will follow the format of the ISO 17025 document. The concepts of the quality management system, continuous improvement, and customer satisfaction included in ISO 9001 have been included.

### 5.2 Analytical and Technical Processes

#### 5.2.1 Receipt of Samples

5.2.1.1 *Samples* may be received by any method authorized by the *International Standard for Testing*.

5.2.1.2 The transport container shall first be inspected and any irregularities recorded.

5.2.1.3 The name and signature (or other means of identification and recording) of the *Person* delivering or transferring custody of the shipped *Samples*, the date, the time of receipt, and the name and signature of the *Laboratory* representative receiving the *Samples*, shall be documented as part of the Laboratory Internal Chain of Custody record.

#### 5.2.2 Handling of Samples

5.2.2.1 The *Laboratory* shall have a system to uniquely identify the *Samples* and associate each *Sample* with the collection document or other external chain of custody.

5.2.2.2 The *Laboratory* shall have Laboratory Internal Chain of Custody procedures to maintain control of and accountability for *Samples* from receipt through final disposition of the *Samples*. The procedures must incorporate the concepts presented in the *WADA Technical Document for Laboratory Internal Chain of Custody (Annex C)*.

5.2.2.3 The *Laboratory* shall observe and document conditions that exist at the time of receipt that may impact on the integrity of a *Sample* report. For example, irregularities noted by the *Laboratory* should include, but are not limited to:

- *Sample* tampering is evident.
- *Sample* is not sealed with tamper-resistant device or seal upon receipt.
- *Sample* is without a collection form (including *Sample* identification code) or a blank form is received with the *Sample*.

- *Sample* identification is unacceptable. For example, the number on the bottle does not match the *Sample* identification number on the form.
- *Sample* volume is extremely low
5.2.2.4 The **Laboratory** should notify and seek advice from the **Testing Authority** regarding rejection and testing of **Samples** for which irregularities are noted.

5.2.2.5 The **Laboratory** shall retain the A and B **Sample(s)** for a minimum of three (3) months after the **Testing Authority** receives a negative report. The **Samples** shall be retained frozen under appropriate conditions.

**Samples** with irregularities shall be held frozen for a minimum of three (3) months following the report to the **Testing Authority**.

5.2.2.6 The **Laboratory** shall retain the **Sample(s)** with an **Adverse Analytical Finding** for a minimum of three (3) months after the **Testing Authority** receives the final analytical (A or B **Sample**) report. The **Sample** shall be stored frozen under appropriate conditions during the long term storage.

5.2.2.7 If the **Laboratory** has been informed by the **Testing Authority** that the analysis of a **Sample** is challenged or disputed, the **Sample** shall be retained frozen under appropriate conditions and all the records pertaining to the **Testing** of that **Sample** shall be stored until completion of any challenges.

5.2.2.8 The **Laboratory** shall maintain a policy pertaining to retention, release, and disposal of **Samples** or **Aliquots**.

5.2.2.9 The **Laboratory** shall maintain custody information on the transfer of **Samples**, or portions thereof to another **Laboratory**.

### 5.2.3 Sampling and Preparation of **Aliquots** for Testing

5.2.3.1 The **Laboratory** shall maintain **Laboratory Internal Chain of Custody** procedures for control of and accountability for all **Aliquots** from preparation through disposal. The procedures must incorporate the concepts presented in the **WADA Technical Document for Laboratory Internal Chain of Custody**.

5.2.3.2 Before the initial opening of a **Sample** bottle, the device used to ensure integrity of the **Sample** (e.g., security tape or a bottle sealing system) shall be inspected and the integrity documented.

5.2.3.3 The **Aliquot** preparation procedure for any **Screening Procedure** or **Confirmation Procedure** shall ensure that no risk of contamination of the **Sample** or **Aliquot** exists.

### 5.2.4 Testing

5.2.4.1 Urine integrity testing
5.2.4.1.1 The Laboratory must have a written policy establishing the procedures and criteria for Sample integrity tests.

5.2.4.1.2 The Laboratory should note any unusual condition of the urine – for example: color, odor, or foam. Any unusual conditions should be recorded and included as part of the report to the Testing Authority.

5.2.4.1.3 The Laboratory shall test for the pH and specific gravity as urine integrity parameters on the “A” Sample. Other tests may be performed if requested by the Testing Authority and approved by WADA.

5.2.4.2 Urine screen testing

5.2.4.2.1 The Screening Procedure(s) shall detect the Prohibited Substance(s) or Metabolite(s) of Prohibited Substance(s), or Marker(s) of the Use of a Prohibited Substance or Method for all substances listed in the Out-of-Competition or In-competition Section of the Prohibited List as appropriate for which there is a WADA-accepted screening method. WADA may make specific exceptions to this section.

5.2.4.2.2 The Screening Procedure shall be performed with a WADA-accepted validated method that is appropriate for the substance or method being tested. The criteria for accepting a screening result and allowing the testing of the Sample to proceed must be scientifically valid.

5.2.4.2.3 All screening assays shall include negative and positive controls in addition to the Samples being tested.

5.2.4.2.4 For analytes that must exceed a threshold for reporting as an Adverse Analytical Finding, appropriate controls shall be included in the screening assay. Screening Procedures for Threshold Substances are not required to meet quantitative or uncertainty requirements.

5.2.4.3 Urine confirmation testing

All Confirmation Procedures must be documented and meet applicable uncertainty requirements. The objective of a Confirmation Procedure is to ensure the identification and/or quantification and to exclude any technical deficiency in the Screening Procedure. Since the objective of the confirmation assay is to accumulate additional information regarding an adverse finding, a Confirmation Procedure should have greater selectivity/discrimination than a Screening Procedure.
5.2.4.3.1 "A" Sample Confirmation

5.2.4.3.1.1 Presumptive identification from a Screening Procedure of a Prohibited Substance, Metabolite(s) of a Prohibited Substance, or Marker(s) of the Use of a Prohibited Substance or Method must be confirmed using a second Aliquot(s) taken from the original "A" Sample.

5.2.4.3.1.2 Mass spectrometry coupled to either gas or liquid chromatography is the method of choice for confirmation of Prohibited Substances, Metabolite(s) of a Prohibited Substance, or Marker(s) of the Use of a Prohibited Substance or Method. GC/MS or HPLC/MS are acceptable for both Screening Procedures and Confirmation Procedures for a specific analyte.

5.2.4.3.1.3 Immunoassay for confirmation of prohibited proteins, peptides, mimetics, and analogues or Marker(s) of their Use is permitted. The immunoassay used for confirmation must use a procedure with a different antibody that should recognise a different epitope of the peptide/protein than the assay used for screening.

5.2.4.3.1.4 The Laboratory must have a policy to define those circumstances where the confirmation testing of an "A" Sample may be repeated (e.g., batch quality control failure). Each repeat confirmation must be documented and be completed on a new Aliquot of the "A" Sample.

5.2.4.3.1.5 The Laboratory is not required to confirm every Prohibited Substance that is identified by the Screening Procedures. The decision on the prioritization on order of confirmation(s) should be made in cooperation with the Testing Authority and the decision documented. In addition, no Certificate of Analysis or final written Test Report incorporating a Presumptive Analytical Finding shall be issued.

5.2.4.3.2 "B" Sample Confirmation

5.2.4.3.2.1 In those cases where confirmation of a Prohibited Substance, Metabolite(s) of a Prohibited Substance, or Marker(s) of the Use of a Prohibited Substance or Method is requested in the "B" Sample, the "B" Sample analysis should occur as soon as possible and should be completed within thirty (30) days of notification of an "A" Sample Adverse Analytical Finding.

5.2.4.3.2.2 The "B" Sample confirmation must be performed in the same Laboratory as the "A" Sample confirmation. A different
The analyst must perform the “B” analytical procedure. The same individual(s) that performed the “A” analysis may perform instrumental set up and performance checks and verify results.

5.2.4.3.2.3 The B Sample result must confirm the A Sample identification for the Adverse Analytical Finding to be valid. The mean value for the B Sample finding for Threshold Substances is required to exceed that threshold including consideration of uncertainty.

5.2.4.3.2.4 The Athlete and/or a representative, a representative of the entity responsible for Sample collection or results management, a representative of the National Olympic Committee, National Sport Federation, International Federation, and a translator shall be authorized to attend the “B” confirmation.

In the absence of all of the above persons, the Testing Authority or the Laboratory shall appoint a surrogate (independent witness) to verify that the “B” Sample container shows no signs of tampering and that the identifying numbers match that on the collection documentation.

The Laboratory Director may limit the number of individuals in Controlled Zones of the Laboratory based on safety or security considerations.

The Laboratory Director may remove, or have removed by proper authority, any Athlete or representative that is interfering in the testing process. Any behavior resulting in removal should be reported to the Testing Authority and may be considered anti-doping rule violation in accordance with Article 2.5 of the Code, “Tampering, or Attempting to tamper, with any part of Doping Control”.

5.2.4.3.2.5 Aliquots taken for analysis must be taken from the original “B” Sample.

5.2.4.3.2.6 The Laboratory must have a policy to define those circumstances when confirmation testing of the “B” Sample may be repeated. Each repeat confirmation should be performed on a new Aliquot of the “B” Sample.

5.2.4.3.2.7 If the “B” Sample confirmation does not provide analytical findings that confirm the “A” Sample result, the Sample shall be considered negative and the Testing Authority notified of the new analytical finding.
5.2.4.4 Alternative biological matrices screening and confirmatory testing

5.2.4.4.1 Unless otherwise defined, this application applies only to the analysis of urine Samples. Blood, plasma, and serum are acceptable matrices for testing in certain circumstances. Specific requirements for the testing of these matrices are not included in the scope of this document and will be promulgated separately.

5.2.4.4.2 Any testing results of hair, nails, oral fluid or other biological material shall not be used to counter Adverse Analytical Findings from urine.

5.2.5 Results Management

5.2.5.1 Review of results

5.2.5.1.1 A minimum of two certifying scientists must independently review all Adverse Analytical Findings before a report is issued. The review process shall be documented.

5.2.5.1.2 At a minimum, the review shall include:

- Laboratory Internal Chain of Custody documentation
- Urine integrity data
- Validity of the analytical screening and confirmation data and calculations
- Quality control data
- Completeness of documentation supporting the reported analytical findings

5.2.5.1.3 When an Adverse Analytical Finding is rejected, the reason(s) must be documented.

5.2.6 Documentation and Reporting

5.2.6.1 The Laboratory must have documented procedures to ensure that it maintains a coordinated record related to each Sample analyzed. In the case of an Adverse Analytical Finding, the record must include the data necessary to support the conclusions reported (as set forth in the Technical Document, Laboratory Documentation Packages). In general, the record should be such that in the absence of the analyst, another competent analyst could evaluate what tests had been performed and interpret the data.

5.2.6.2 Each step of testing shall be traceable to the staff member who performed that step.
5.2.6.3 Significant variance from the written procedure shall be documented as part of the record (e.g., memorandum for the record).

5.2.6.4 Where instrumental analyses are conducted, the operating parameters for each run shall be recorded.

5.2.6.5 Reporting of “A” Sample results should occur within ten (10) working days of receipt of the Sample. The reporting time required for specific competitions may be substantially less than ten days. The reporting time may be modified by agreement between the Laboratory and the Testing Authority.

5.2.6.6 The Laboratory Certificate of Analysis or Test Report shall include, in addition to the items stipulated in ISO 17025, the following:

- Sample identification number
- Laboratory identification number (if any)
- Status of test (Out of competition/In-competition)
- Name of competition and/or sport
- Date of receipt of Sample
- Date of report
- Type of sample (urine, blood, etc.)
- Test results
- Signature of certifying individual
- Other information as specified by the Testing Authority.

5.2.6.7 The Laboratory is not required to measure or report a concentration for Prohibited Substances for a non-threshold analyte. The Laboratory should report the actual Prohibited Substance(s), Metabolite(s) of the Prohibited Substance(s) or Method(s), or Marker(s) detected in the Sample.

5.2.6.8 For Threshold Substances, the Laboratory report should establish that the Prohibited Substance or its Metabolite(s) or Marker(s) of a Prohibited Method is present at a concentration greater than the threshold concentration taking into consideration the uncertainty in concluding that the concentration in the Sample exceeds the threshold. The estimate of uncertainty should not be included on the Certificate of Analysis or Test Report but must be included in Laboratory Documentation Packages.

5.2.6.9 The Laboratory shall have a policy regarding the provision of opinions and interpretation of data. An opinion or interpretation may be included in the Certificate of Analysis or Test Report provided that the opinion or interpretation is clearly identified as such. The basis upon which the opinion has been made shall be documented.

Note: An opinion or interpretation may include, but not be limited to, recommendations on how to use results, information related to the pharmacology, metabolism and pharmacokinetics of a substance, and whether an observed result is consistent with a set of reported conditions.
5.2.6.10 In addition to reporting to the Testing Authority, the Laboratory shall simultaneously report any Adverse Analytical Findings to WADA and the responsible International Federation. In the case where the sport or Event is not associated with an International Federation (e.g., college sports) or the Athletes are not members of an International Federation, the Laboratory is required to report Adverse Analytical Findings only to WADA. All reporting shall be in accord with the confidentiality requirements of the Code.

5.2.6.11 The Laboratory shall report quarterly to WADA, in a format specified by WADA, a summary of the results of all tests performed. No information that could link an Athlete with an individual result will be included. The report will include a summary of any Samples rejected for testing and the reason for the rejection.

When the clearinghouse is in place, the Laboratory shall simultaneously report to WADA all information reported to the Testing Authority, according to the requirements listed in Section 5.2.6.6, in lieu of the paragraph above. The information will be used to generate summary reports.

5.2.6.12 Laboratory Documentation Packages shall contain material specified in the WADA Technical Document on Laboratory Documentation Packages.

5.2.6.13 Athlete confidentiality is a key concern for all Laboratories engaged in Doping Control cases. Confidentiality requires extra safeguards given the sensitive nature of these tests.

5.2.6.13.1 Testing Authority requests for information must be made in writing to the Laboratories.

5.2.6.13.2 Adverse Analytical Findings shall not be provided by telephone.

5.2.6.13.3 Information sent by a facsimile is acceptable if the security of the receiving facsimile machine has been verified and procedures are in place to ensure that the facsimile has been transmitted to the correct facsimile number.

5.2.6.13.4 Unencrypted email is not authorized for any reporting or discussion of Adverse Analytical Findings if the Athlete can be identified or if any information regarding the identity of the Athlete is included. The Laboratory shall also provide any information requested by WADA in conjunction with the Monitoring Program, as set forth in Article 4.5 of the Code.
5.3 Quality Management Processes

5.3.1 Organization

5.3.1.1 Within the framework of ISO/IEC 17025, the Laboratory shall be considered a testing laboratory (and not a calibration laboratory).

5.3.1.2 The Laboratory (Scientific) Director shall have the responsibilities of the Chief Executive, unless otherwise noted.

5.3.2 Quality Policy and Objectives

5.3.2.1 The Quality Policy and implementation shall meet the requirements of ISO/IEC 17025 Section 4.2 Quality Management System and shall include a quality manual that describes the quality system.

5.3.2.2 A single staff member should be appointed as the Quality Manager and should have responsibility and authority to implement and ensure compliance with the quality system.

5.3.3 Document Control

The control of documents that make up the Quality Management System shall meet the requirements of ISO/IEC 17025 Section 4.3 Document Control

5.3.3.1 The Laboratory Director (or designee) shall approve the Quality Manual and all other documents used by staff members in completing testing.

5.3.3.2 The Quality Management System shall ensure that the contents of WADA Technical Documents are incorporated into the appropriate manuals by the effective date and that training is provided and documented. If this is not possible, WADA should be contacted with a written request for an extension.

5.3.4 Review of requests, tenders, and contracts

Review of legal documents or agreements related to testing must meet the requirements of ISO/IEC 17025 Section 4.4.

The Laboratory shall ensure that the Testing Authority is informed concerning the tests that can be performed on Samples submitted for analysis.

5.3.5 Subcontracting of tests

A WADA-accredited Laboratory must perform all work with its own personnel and equipment within its accredited facility. In the case of specific technologies that may not be available in the Laboratory (e.g., GC/C/IRMS, Isoelectric focusing [EPO/NESP]), a Sample may be transferred to another WADA-accredited Laboratory in which the technology is within the scope of analysis.
In exceptional circumstances, WADA may elect to grant specific authorization for subcontracting part of the tasks. In such cases, assurance of maintaining the level of quality and the appropriate chain of custody throughout the entire process is the responsibility of the Laboratory Director of the WADA-accredited Laboratory.

5.3.6 Purchasing of services and supplies

5.3.6.1 Chemicals and reagents
Chemicals and reagents must be suitable for the purpose and be of established purity. Reference purity documentation must be obtained when available and retained in the quality system documents.

In the case of rare or difficult to obtain reagents, Reference Materials, or Reference Collections, particularly for use in qualitative methods, the expiration date of the solution can be extended if adequate documentation exists that no significant deterioration has occurred.

5.3.6.2 Waste disposal shall be in accord with national laws and other relevant regulations. This includes biohazard materials, chemicals, controlled substances, and radioisotopes, if used.

5.3.6.3 Environmental health and safety policies should be in place to protect the staff, the public, and the environment.

5.3.7 Service to the client

5.3.7.1 Service to clients shall be handled in accord with ISO/IEC 17025 Section 4.7.

5.3.7.2 Ensuring responsiveness to WADA
The Laboratory Director or his designee must:
- Ensure adequate communication.
- Report to WADA any unusual circumstances or information with regard to testing programs, patterns of irregularities in Specimens, or potential Use of new substances.
- Provide complete and timely explanatory information to WADA as appropriate and as requested to provide quality accreditation.

5.3.7.3 Ensuring Testing Authority focus

5.3.7.3.1 The Laboratory Director shall be familiar with the Testing Authority rules and the Prohibited List.

5.3.7.3.2 The Laboratory Director should interact with the Testing Authority with respect to specific timing, report information, or other support needs. These interactions should include, but are not limited to, the following:
• Communicate with the Testing Authority concerning any significant question of testing needs or any unusual circumstance in the testing process (including delays in reporting).
• Act without bias regarding the national affiliation of the Testing Authority.
• Provide complete and timely explanations to the Testing Authority when requested or when there is a potential for misunderstanding the Test Report or Certificate of Analysis.
• Provide evidence and/or expert testimony on any test result or report produced by the Laboratory as required in administrative, arbitration, or legal proceedings.
• Respond to any comment or complaint submitted by a Testing Authority or Anti-Doping Organization concerning the Laboratory and its operation.

5.3.7.3.3 The Laboratory shall monitor Testing Authority satisfaction. There should be documentation that the Testing Authority concerns have been incorporated into the Laboratory Quality Management System, where appropriate.

5.3.7.3.4 The Laboratory shall develop a system, as required by ISO 17025, for monitoring key indicators of Laboratory service.

5.3.8 Complaints
Complaints shall be handled in accord with ISO/IEC 17025 Section 4.8.

5.3.9 Control of nonconforming testing work

5.3.9.1 The Laboratory shall have policies and procedures that shall be implemented when any aspect of its testing or a result from its testing does not comply to set procedures.

5.3.9.2 Documentation of any non-compliance or deviation from procedure or protocol involving a Sample testing shall be kept as part of the permanent record of that Sample.

5.3.10 Corrective action
Corrective action shall be taken in accord with ISO/IEC 17025 Section 4.10.

5.3.11 Preventive action
Preventive action shall be taken in accord with ISO/IEC 17025 Section 4.11.

5.3.12 Control of records

5.3.12.1 Technical Records

5.3.12.1.1 Analytical records on negative Samples, including Laboratory Internal Chain of Custody documentation and medical information (T/E ratio, steroid profiles, and blood parameters), must be
retained in secure storage for at least two (2) years. Relevant records on \textit{Samples} with irregularities or rejected \textit{Samples} must be retained in secure storage for at least two (2) years.

5.3.12.1.2 All analytical records on \textit{Specimens} with an \textit{Adverse Analytical Finding} must be retained in secure storage at least five (5) years, unless otherwise specified by the \textit{Testing Authority} or by contract.

5.3.12.1.3 The raw data supporting all analytical results must be retained in secure storage for five (5) years.

5.3.13 Internal Audits

5.3.13.1 Internal audits shall be completed in accordance with the requirements of ISO/IEC 17025 Section 4.13.

5.3.13.2 Internal Audit responsibilities may be shared amongst personnel provided that any \textit{Person} does not audit his/her own area.

5.3.14 Management Reviews

5.3.14.1 Management reviews will be conducted to meet the requirements of ISO/IEC 17025 Section 4.14.

5.3.14.2 \textit{WADA} will publish, from time to time, specific technical recommendations in a Technical Document. Implementation of the technical recommendations described in the Technical Documents is mandatory and should occur by the effective date.

Technical Documents supersede any previous publication on a similar topic, or if applicable, this document. The document in effect will be that Technical Document whose effective date most recently precedes that of \textit{Sample} receipt date. The current version of the Technical Document will be available on \textit{WADA}'s website.

5.4 Support processes

5.4.1 General

General support shall be provided in accord with ISO/IEC 17025.

5.4.2 Personnel

5.4.2.1 Every person employed by, or under contract to, the \textit{Laboratory} must have a personnel file accessible for auditors. The file must contain copies of the resumé, or qualification form, a description of the job, and documentation of initial and ongoing training. The \textit{Laboratory} must maintain appropriate confidentiality of personal information.
5.4.2.2 All personnel should have a thorough knowledge of their responsibilities including the security of the Laboratory, confidentiality of results, Laboratory Internal Chain of Custody protocols, and the standard operating procedures for any method that they perform.

5.4.2.3 The Laboratory Director is responsible for ensuring that Laboratory personnel are adequately trained and have experience necessary to perform their duties. The certification should be documented in the individual’s personnel file.

5.4.2.4 The Doping Control Laboratory must have a qualified person as the Laboratory Director to assume professional, organizational, educational, and administrative responsibility. The Laboratory Director qualifications are:

- Ph.D. or equivalent in one of the natural sciences or Training comparable to a Ph.D. in one of the natural sciences such as a medical or scientific degree with appropriate experience or training.
- Experience with the analysis of biological material for substances used in doping.
- Appropriate training or experience in forensic applications of Doping Control.

5.4.2.5 The Doping Control Laboratory must have qualified personnel to serve as Certifying Scientist(s) to review all pertinent data, quality control results, and to attest to the validity of the Laboratory’s test reports. The qualifications are:

- Bachelors Degree in Medical Technology, Chemistry, Biology, or related natural science or equivalent. Documented experience of 8 years or more in a Doping Control Laboratory is equivalent to a Bachelor’s degree for this position.
- Experience in the analysis of doping materials in biological fluids.
- Experience in the use of relevant analytical techniques such as chromatography, immunoassay, and Gas Chromatography/Mass Spectrometry.

5.4.2.6 Supervisory personnel should have a thorough understanding of the Quality Control procedures; the review, interpretation, and reporting of test results; maintenance of Laboratory Internal Chain of Custody; and proper remedial action to be taken in response to analytical problems. The qualifications for supervisor are:

- Bachelors Degree in Medical Technology, Chemistry, Biology, or related natural science or equivalent. Documented experience of 5 years or more in a Doping Control Laboratory is equivalent to a Bachelor’s degree for this position.
• Experience in relevant analytical testing including the analysis of \textit{Prohibited Substances} in biological material.
• Experience in the use of analytical techniques such as chromatography, immunoassay, and Gas Chromatography/Mass Spectrometry.
• Ability to ensure compliance with quality management systems and quality assurance processes.

\textbf{5.4.3 Accommodation and environmental conditions}

\textbf{5.4.3.1 Environmental Control}

\textbf{5.4.3.1.1 Maintain appropriate electrical services}

\textbf{5.4.3.1.1.1} The \textit{Laboratory} shall ensure that adequate electrical service is available so that there is no interruption or compromise of stored data.

\textbf{5.4.3.1.1.2} All computers, peripherals, and communication devices should be supported in such a way that service is not likely to be interrupted.

\textbf{5.4.3.1.1.3} The \textit{Laboratory} shall have policies in place to ensure the integrity of refrigerated and/or frozen stored samples in the event of an electrical failure.

\textbf{5.4.3.1.2} The \textit{Laboratory} shall have a written safety policy and compliance with \textit{Laboratory} safety policies shall be enforced.

\textbf{5.4.3.1.3} The storage and handling of controlled substances must comply with applicable national legislation.

\textbf{5.4.3.2 Security of the facility}

\textbf{5.4.3.2.1} The \textit{Laboratory} shall have a policy for the security of its facilities, which may include a threat and risk assessment.

\textbf{5.4.3.2.2} Three levels of access should be considered in the quality manual or threat assessment plan:

\begin{itemize}
  \item Reception zone. An initial point of control beyond which unauthorized individuals must be escorted.
  \item Common operational zones.
  \item Controlled zones. Access to these areas should be monitored and records maintained of access by visitors.
\end{itemize}

\textbf{5.4.3.2.3} The \textit{Laboratory} shall restrict access to Controlled Zones to only authorized persons. A staff member should be assigned as the
security officer who has overall knowledge and control of the security system.

5.4.3.2.4 Unauthorized persons must be escorted within Controlled Zones. A temporary authorization may be issued to individuals requiring access to the Controlled Zones such as auditing teams and individuals performing service or repair.

5.4.3.2.5 It is advisable to have a separate Controlled Zone for Sample receipt and Aliquot preparation.

5.4.4 Test Methods and Method Validation

5.4.4.1 Selection of Methods
Standard methods are generally not available for Doping Control analyses. The Laboratory shall develop, validate, and document in-house methods for compounds present on the Prohibited List and for related substances. The methods shall be selected and validated so they are fit for the purpose.

5.4.4.1.1 Non-threshold Substances
Laboratories are not required to measure or report a concentration for Non-threshold Substances.

The Laboratory must develop as part of the method validation process acceptable standards for identification of Prohibited Substances. (See the Technical Document on Identification Criteria for Qualitative Assays)

The Laboratory must demonstrate the ability to achieve the Minimum Required Performance Limits using a representative substance or substances if the appropriate standards are available. In case a Reference Collection is used for identification, an estimate of the limit of detection for the method must be provided by assessing a representative substance.

5.4.4.1.2 Threshold Substances
The Laboratory must develop methods with an acceptable uncertainty near the threshold concentration. The method must be capable of documenting both the relative concentration and the identity of the Prohibited Substance or Metabolite(s) or Marker(s).

Confirmation methods for Threshold Substances must be performed on three Aliquots from the “A” bottle and three Aliquots from the “B” bottle, if the “B” sample confirmation is performed. If insufficient Sample volume exists to analyze three Aliquots, the maximum number of Aliquots that can be prepared should be analyzed. Adverse Analytical Finding decisions shall be based on the mean of the measured
concentrations and include consideration of uncertainty with the coverage factor, k, reflecting the number of Aliquots analyzed and a level of confidence of 95%. Reports and documentation, where necessary, shall report the mean concentration.

5.4.4.1.3 Minimum Required Performance Limit
For both Non-threshold and Threshold Substances, the Laboratory will be required to meet a Minimum Required Performance Limit for detection, identification, and demonstration that a substance exceeds the threshold (if required).

5.4.4.2 Validation of Methods

5.4.4.2.1 Confirmation methods for Non-threshold Substances must be validated. Examples of factors relevant to determining if the method is fit for the purpose are:

- Specificity. The ability of the assay to detect only the substance of interest must be determined and documented. The assay must be able to discriminate between compounds of closely related structures.

- Identification capability. Since the results for Non-threshold substances are not quantitative, the Laboratory should establish criteria for ensuring that identification of a substance representative of the class of Prohibited Substances can be repeatedly identified and detected as present in the sample at a concentration near the MRPL.

- Robustness. The method must be determined to produce the same results with respect to minor variations in analytical conditions. Those conditions that are critical to reproducible results must be controlled.

- Carryover. The conditions required to eliminate carryover of the substance of interest from sample to sample during processing or instrumental analysis must be determined and implemented.

- Matrix interferences. The method should avoid interference in the detection of Prohibited Substances or their Metabolites or Markers by components of the sample matrix.

- Standards. Reference standards should be used for identification, if available. If there is no reference standard
available, the use of data or sample from a validated Reference Collection is acceptable.

5.4.4.2.2 Confirmation methods for Threshold Substances must be validated. Examples of factors relevant to determining if the method is fit for the purpose are:

- Specificity. The ability of the assay to detect only the substance of interest must be determined and documented. The assay must be able to discriminate between compounds of closely related structures.

- Intermediate Precision. The method must allow for the reliable repetition of the results at different times and with different operators performing the assay. Intermediate Precision at the threshold must be documented.

- Robustness. The method must be determined to produce the same results with respect to minor variations in analytical conditions. Those conditions that are critical to reproducible results must be controlled.

- Carryover. The conditions required to eliminate carryover of the substance of interest from sample to sample during processing or instrumental analysis must be determined and implemented

- Matrix interferences. The method must limit interference in the measurement of the amount of Prohibited Substances or their Metabolites or Markers by components of the sample matrix.

- Standards. Reference standards should be used for quantification, if available. If there is no reference standard available, the use of data or sample from a validated Reference Collection is acceptable.

- Minimum Required Performance Limits (MRPL). The Laboratory must demonstrate that it can detect representative compounds of each prohibited class at defined MRPLs. The Laboratory should also determine the limit of detection and limit of quantification if the MRPL is close to these limits.

- Linearity must be documented at 50% to 200% of the threshold value, unless otherwise stipulated in a Technical Document.
5.4.4.3 Estimate of Uncertainty of Method
In most cases an identification of a Prohibited Substance, its Metabolite(s) or Marker(s), is sufficient to report an Adverse Analytical Finding. Thus, quantitative uncertainty as defined in ISO/IEC 17025 does not apply. In the identification of a compound by GC/MS or HPLC/MS, there are qualitative measures that substantially decrease the uncertainty of identification.

In the case of a Threshold Substance, uncertainty in both the identification and the finding that the substance is present in an amount greater than the threshold concentration must be addressed.

5.4.4.3.1 Uncertainty in identification
The appropriate analytical characteristics must be documented for a particular assay. The Laboratory must establish criteria for identification of a compound at least as strict as those stated in any relevant Technical Document.

5.4.4.3.2 Uncertainty in establishing that a substance exceeds a threshold.
The purpose of threshold reporting in Doping Control is to establish that the Prohibited Substance or its Metabolite(s) or Marker(s) are present at a concentration greater than the threshold value. The method, including selection of standards and controls, and report of uncertainty should be designed to fit the purpose.

5.4.4.3.2.1 Uncertainty of quantitative results, particularly at the threshold value, should be addressed during the validation of the assay through measurement of Repeatability, Intermediate Precision and bias, where possible.

5.4.4.3.2.2 The expression of uncertainty should use the expanded uncertainty using a coverage factor, k, to reflect a level of confidence of 95 %. The expression of uncertainty may also take the form of a one-sided t-test at a level of confidence of 95 %.

5.4.4.3.2.3 Uncertainty may be further addressed in Technical Documents in order to reflect the purpose of analysis for the specific substances.

5.4.4 Control of Data

5.4.4.1 Data and Computer Security

5.4.4.1.1 Access to computer terminals, computers, or other operating equipment shall be controlled by physical access and by multiple levels of access controlled by
passwords or other means of employee recognition and identification. These include, but are not limited to account privileges, user identification codes, disk access, and file access control.

5.4.4.4.1.2 The operating software and all files shall be backed up on a regular basis and a current copy kept off site at a secure location.

5.4.4.4.1.3 The software shall prevent the changing of results unless there is a system to document the person doing the editing and that editing can be limited to users with proper level of access.

5.4.4.4.1.4 All data entry, recording of reporting processes and all changes to reported data shall be recorded with an audit trail. This shall include the date and time, the information that was changed, and the individual performing the task.

5.4.5 Equipment

5.4.5.1 A List of available equipment is to be established and maintained.

5.4.5.2 As part of a quality system, the Laboratories shall operate a program for the maintenance and calibration of equipment according to ISO 17025 Section 5.5.

5.4.5.3 General service equipment that is not used for making measurements should be maintained by visual examination, safety checks, and cleaning as necessary. Calibrations are only required where the setting can significantly change the test result. A maintenance schedule shall be established for items such as fume hoods, centrifuges, evaporators, etc, which are used in the test method.

5.4.5.4 Equipment or volumetric devices used in measuring shall have periodic performance checks along with servicing, cleaning, and repair.

5.4.5.5 Qualified subcontracted vendors may be used to service, maintain, and repair measuring equipment.

5.4.5.6 All maintenance, service, and repair of equipment must be documented.
5.4.6 Measurement Traceability

5.4.6.1 Reference Standards
Few of the available reference drug and drug Metabolite(s) are traceable to national or international standards. When available, reference drug or drug Metabolite(s) traceable to a national standard or certified by a body of recognized status, such as USP, BP, Ph.Eur. or WHO, should be used. When available, a certificate of analysis or authenticity shall be obtained.

When a reference standard is not certified, the Laboratory shall verify its identity and purity by comparison with published data or by chemical characterization.

5.4.6.2 Reference Collections
A collection of samples or isolates may be obtained from a biological matrix following an authentic and verifiable administration of a Prohibited Substance or Method, providing that the analytical data are sufficient to justify the identity of the relevant chromatographic peak or isolate as a Prohibited Substance or Metabolite of a Prohibited Substance or Marker of a Prohibited Substance or Method.

5.4.7 Assuring the quality of test results

5.4.7.1 The Laboratory must participate in the WADA Proficiency Testing Program.

5.4.7.2 The Laboratory shall have in place a quality assurance system, including the submission of blind quality control samples, that challenges the entire scope of the testing process (i.e., sample receipt and accessioning through result reporting).

5.4.7.3 Analytical performance should be monitored by operating quality control schemes appropriate to the type and frequency of testing performed by the Laboratory. The range of quality control activities includes:

- Positive and negative controls analyzed in the same analytical run as the Presumptive Adverse Analytical Finding Sample.
- The use of deuterated or other internal standards or standard addition.
- Comparison of mass spectra or ion ratios from selected ion monitoring (SIM) to a Reference Material or Reference Collection sample analyzed in the same analytical run.
- Confirmation of the “A” and “B” Split Samples.
• Quality control charts using appropriate control limits (e.g., ± 20% of the target value) depending on the analytical method employed.
• The quality control procedures should be documented in the Laboratory.

6.0 Process of WADA Accreditation

This section describes the technical and financial requirements the laboratory must fulfill in the process of being accredited by WADA. The description of the steps in the accreditation process is linked to the defined requirement presented in Section 4.

6.1 Applying for a WADA Laboratory Accreditation

6.1.1 Submit Application Form
The laboratory must fill in the necessary information in the Application Form as provided by WADA and deliver this to WADA with the required documentation and applicable fee. The Application shall be signed by the Laboratory Director and, if relevant, by the Director of the host organization.

6.1.2 Description of Laboratory
As preparations for an initial visit by WADA, the laboratory shall complete a questionnaire provided by WADA and submit it to WADA no later than four weeks after the receipt of the questionnaire. The following information shall be submitted through the questionnaire:

• List of staff and their qualifications
• Description of physical facilities, including a description of the security considerations for Samples and records
• List of proposed and actual instrumental resources and equipment
• List of available Reference Materials or standards, or plans to acquire Reference Materials or standards, including properly validated biological Sample Reference Collections
• Financial or business plan for the laboratory

WADA may require an update of this documentation during the process of accreditation.

6.1.3 Provide a letter of support
According to 4.1.2 the laboratory shall provide necessary letters of support containing the required information from the relevant national public authorities, or National Olympic Committee, or National Anti-Doping Organization.

6.1.4 Conduct Initial visit
If necessary, WADA shall conduct an initial visit (2-3 days) to the laboratory at the laboratory’s expense. The purpose of this visit is to clarify issues with regard to the accreditation process and the defined requirements in the International Standard for...
Laboratories and to obtain information about different aspects of the laboratory relevant for the accreditation.

6.1.5 Issue final report and recommendation
Within eight (8) weeks after the initial visit or the receipt of the questionnaire, WADA will complete and submit a report to the laboratory. In the report WADA will make the necessary recommendations concerning giving the laboratory status as a WADA Probationary laboratory or if this is not the case, identifying needed improvements in order to be a WADA Probationary laboratory.

6.2 Preparing for WADA Laboratory Accreditation
A probationary period shall be defined for a WADA Probationary Laboratory. The period will range from 12 to 24 months depending on the status of the laboratory with regard to the defined requirements (refer to Section 4.1). The main purpose of this period is that the laboratory shall prepare for initial accreditation. During this period, WADA will provide appropriate feedback to assist the laboratory in improving the quality of its testing process. In this period the laboratory shall:

6.2.1 Obtain ISO 17025 accreditation
The laboratory shall prepare and establish the required documentation and system according to the requirements in Application of ISO 17025 to Analysis of Doping Control Sample (Section 5) and the ISO 17025. Based on this, the laboratory shall initiate and prepare for the accreditation process by consulting with a relevant national accreditation body. An audit team consisting of representatives from a national accreditation body, including independent technical assessors recommended by WADA will audit the laboratory. Copies of the Audit Report shall be sent to WADA. The laboratory has to correct any identified non-conformities within defined time-frames and document this accordingly. Copies of the documentation of the correction of the non-conformities should be sent to WADA.

6.2.2 Participate in the WADA Proficiency Testing Program
The laboratory must complete a minimum of one year of successful participation in the WADA Proficiency Testing program prior to achieving initial accreditation. (See Annex A for description of the Proficiency Testing program.)

As a final proficiency test, the laboratory shall analyze 20-50 urine Samples in the presence of a WADA representative. Costs associated with the WADA on-site visit shall be at the laboratory’s expense. The laboratory shall successfully identify and/or document a concentration in excess of the threshold of all of the Prohibited Substances, Metabolite(s) of Prohibited Substances, or Marker(s) of Prohibited Substances or Methods within five (5) days of the laboratory opening the Samples. The laboratory shall provide a Certificate of Analysis for each of the Samples in the proficiency test. For negative Samples, WADA may request all or a portion of the negative screening data. For each of the Samples for which there is an Adverse Analytical Finding, the laboratory shall provide a Laboratory Documentation Package. This data shall be submitted within two (2) weeks of submission of the initial report.
6.2.3 Implement Code of Ethics
The laboratory shall communicate the Code of Ethics (Annex B) to all employees and ensure understanding of and commitment to the different aspects of the Code of Ethics.

6.2.4 Plan and implement research activities
The laboratory shall develop a plan for its research and development activities in the field of Doping Control within a 3 year period including a budget. At least two research and development activities shall be initiated and implemented within the probationary period.

6.2.5 Plan and implement sharing of knowledge
The laboratory shall prepare and convey information and knowledge on at least two specific issues to the other WADA accredited Laboratories within the probationary period.

6.3 Obtaining WADA Accreditation

6.3.1 Participate in a WADA accreditation audit
In the last phase of the probationary period WADA will prepare in cooperation with the laboratory a final WADA accreditation audit. Representatives of WADA will audit compliance of the defined requirements in the Application of ISO 17025 to Analysis of Doping Control Samples (Section 5) and the practice and documentation of the laboratory. If WADA has participated in the initial ISO audit, the final WADA audit may be a document audit. Otherwise, the audit can be conducted together with the national accreditation body or separately if more practical. Should an on-site audit take place by WADA, the associated cost shall be at the laboratory’s expense. Based on the audit, WADA will issue an Audit Report and submit this to the laboratory. If needed, the laboratory will have to correct identified non-compliances within defined time-frames and report these to WADA.

6.3.2 WADA report and recommendation
Based on the relevant documentation from the laboratory, any WADA technical advisor feedback, and the relevant accreditation body (Audit Report), WADA will make a final report including a recommendation concerning the accreditation of the laboratory. The report and recommendation will be submitted to the WADA Executive Committee for approval. In case that the recommendation is that the laboratory should not be accredited, the laboratory will have a maximum of six (6) months to correct and improve specific parts of their operation, at which time a further report will be made by WADA.

6.3.3 Issue and publication of Accreditation certificate
A certificate signed by a duly authorized representative of WADA shall be issued in recognition of an accreditation. Such certificate shall specify the name of the Laboratory and the period for which the certificate is valid. Certificates may be
issued after the effective date, with retroactive effect. A list of accredited Laboratories will be published annually by WADA.

6.4 Maintaining WADA Accreditation

6.4.1 Provide a new letter of support
Letter(s) of Support from a national public authority or National Olympic Committee or National Anti-Doping Organization responsible for a national Doping Control program or an International Federation responsible for an international Doping Control program shall be required in years in which there is an ISO 17025 re-accreditation audit.

A letter of support from the host organization renewing its commitment to the Laboratory shall also be required in conjunction with each ISO 17025 re-accreditation audit.

6.4.2 Document annual number of tests
The Laboratory shall periodically report the results of all tests performed to WADA in a specified format. WADA will monitor Sample test volume performed by the Laboratory. If the number of Samples falls below 1500 per year, WADA Laboratory accreditation will be suspended or revoked in accordance with Section 6.4.8.

6.4.3 Flexible Accreditation
WADA accredited Laboratories may add or modify scientific methods or add analytes to its scope of work without the need for approval by the body that completed the ISO/IEC 17025 accreditation of that Laboratory. Any analytical method or procedure must be properly selected and validated and included in the scope of the Laboratory at the next ISO audit if use is continued.

6.4.4 Document Compliance with the WADA Laboratory Code of Ethics
The Laboratory Director must send a letter of compliance to WADA every year. The Laboratory may be asked to provide documentation of compliance with the provisions of the Code of Ethics (Annex B).

6.4.5 Document implemented research activities
The Laboratory must supply an annual progress report to WADA documenting research and development results in the field of Doping Control and dissemination of the results. The Laboratory should also relate research and development plans for the next year.

6.4.6 Document implemented sharing of knowledge
The Laboratory must supply an annual report sharing of knowledge with all other WADA-accredited Laboratories.
6.4.7 Participate in WADA/ISO periodical audits and the re-accreditation audit

WADA reserves the right to inspect and audit the Laboratory at any time. The notice of the audit/inspection will be made in writing to the Laboratory Director. In exceptional circumstances, the audit/inspection may be unannounced.

6.4.7.1 WADA/ISO Re-accreditation audit

The Laboratory must receive ISO/IEC 17025 accreditation including compliance with the Application of ISO 17025 for Analysis of Doping Control Samples (Section 5 of this document). The audit team may include a WADA Consultant to augment the auditing team selected by the national accrediting body for the re-accreditation audit.

Copies of the audit summary report as well as the Laboratory responses must be sent to WADA. The Laboratory shall also provide a copy of the ISO 17025 certificate obtained from the national certifying body.

6.4.7.2 ISO Periodical audit

In years when a periodical ISO/IEC 17025 audit is required, the Laboratory shall provide WADA with a copy of any external audits and evidence of corrective actions for any non-compliance.

6.4.8 WADA report and recommendation

WADA will annually review Laboratory compliance with the requirements listed in Sections 4 and 5. With the exception of re-accreditation and other required on-site audits, the annual review will consist of a documentation audit. WADA may require documentation from the Laboratory. Failure of the Laboratory to provide information requested in evaluating performance by the specified date shall be considered a refusal to cooperate and result in Suspension or Revocation of accreditation.

WADA will consider the overall performance of the Laboratory in making decisions regarding continued accreditation. Applicant Laboratory performance on aspects of the standards described in Section 5 (such as turn-around times, Documentation Package contents, and feedback from client organizations) may be considered in this auditing.

6.4.8.1 Maintenance of accreditation

In the event that the Laboratory has maintained satisfactory performance, WADA will recommend to the WADA Executive Committee that the Laboratory be re-accredited.

6.4.8.2 Suspension of accreditation

Whenever WADA has reason to believe that Suspension may be required and that immediate action is necessary in order to protect the interests of WADA and the Olympic movement, WADA may immediately suspend a Laboratory’s accreditation. If necessary, such decision may be taken by the Chairman of the WADA Executive Committee.
Examples of actions that could result in Suspension of accreditation include:

- Suspension of ISO 17025 accreditation;
- failure to take appropriate corrective action after an unsatisfactory performance;
- lack of compliance with any of the requirements or standards listed in WADA International Standard for Laboratories (including Annex A. Proficiency Testing);
- failure to cooperate with WADA or the relevant Testing Authority in providing documentation;
- failure to comply with the WADA Laboratory Code of Ethics.

WADA may recommend a Suspension of accreditation at any time based on the results of the Proficiency Testing program.

The period and terms of Suspension shall be proportionate to the seriousness of the non-compliance(s) or lack of performance and the need to ensure accurate and reliable drug testing of Athletes. A period of Suspension shall be up to 6 months, during which time any non-compliance must be corrected. If the non-compliance is not corrected during the Suspension period, the Laboratory accreditation will be revoked.

In the case of a non-compliance WADA may suspend the Laboratory from performing analyses for any Prohibited Substances. If WADA determines that the non-compliance is limited to a class of Prohibited Substances, WADA may limit the suspension to analysis for the class of compounds in which the non-compliance occurred.

6.4.8.3 Revocation of accreditation

The WADA Executive Committee revokes accreditation of any Laboratory accredited under these provisions if WADA determines that Revocation is necessary to ensure the full reliability and accuracy of drug tests and the accurate reporting of test results. Revocation of accreditation may be based on, but not limited to, the following considerations:

- Loss of ISO 17025 accreditation;
- Unsatisfactory performance in analyzing and reporting results of drug tests
- Unsatisfactory participation in performance evaluations or Laboratory on-site audits;
- Failure to take appropriate corrective action following an unsatisfactory performance either in Testing or in a proficiency test;
- A material violation of this standard or other condition imposed on the Laboratory by WADA;
• Failure to correct a lack of compliance with any of the requirements or standards listed in *WADA International Standard for Laboratories* (including Annex A. Proficiency Testing) during a Suspension period;
• Failure to cooperate with *WADA* or the relevant Testing Authority during the Suspension phase;
• A serious violation of the Code of Ethics;
• Conviction of any key personnel for any criminal offence committed that is related to the operation of the Laboratory; or
• Any other cause that materially affects the ability of the Laboratory to ensure the full reliability and accuracy of drug tests and the accurate reporting of results.

A Laboratory whose accreditation has been revoked is ineligible to perform testing of Doping Control Samples for any Testing Authority.

If a Laboratory whose accreditation has been revoked should seek accreditation, it shall begin the process as a new laboratory as described in Section 4.1, unless there are exceptional circumstances or justifications as determined solely by *WADA*. In the case of exceptional circumstances, *WADA* shall determine what steps shall be followed prior to granting a new accreditation.

### 6.4.9 Notification

#### 6.4.9.1 Written Notice

When a Laboratory is suspended or *WADA* seeks to revoke accreditation, *WADA* must immediately serve the Laboratory with written notice of the Suspension or proposed Revocation by facsimile mail, personal service, or registered or certified mail, return receipt requested. This notice shall state the following:

1) The reason for Suspension or proposed Revocation;
2) The terms of the Suspension or proposed Revocation; and
3) The period of Suspension.

#### 6.4.9.2 Effective Date

A Suspension is immediately effective. A proposed Revocation is effective 30 calendar days after the date on the written notice or, if review is requested, upon *WADA*’s decision to uphold the proposed Revocation. A Laboratory who has received notice that its accreditation is in the process of being revoked shall be suspended until the Revocation is made final or is rescinded by *WADA*. If *WADA* decides not to uphold the Suspension or proposed Revocation, the Suspension is terminated immediately and any proposed Revocation shall not take place.
6.4.9.3 Public Notice
WADA will immediately notify all relevant national public authorities, National Anti-Doping Organizations, National Olympic Committees, International Federations, and the IOC of the name and address of any Laboratory that has had its accreditation suspended or revoked, and the name of any Laboratory that has had its Suspension lifted.

WADA will provide to any Testing Authority, upon written request, WADA’s written decision which upholds or denies the Suspension or proposed Revocation.

6.4.10 Re-accreditation Costs
On an annual basis, WADA will invoice the Laboratory for a portion of the costs associated with the re-accreditation process. The Laboratory shall assume the travel and accommodation expenses of the WADA representative(s) in the event of on-site inspections.

6.4.11 Issue and publication of Accreditation certificate
If maintenance of accreditation is approved, the Laboratory shall receive a certificate signed by a duly authorized representative of WADA issued in recognition of such accreditation. Such certificate shall specify the name of the Laboratory and the period for which the certificate shall be valid. Certificates may be issued after the effective date, with retroactive effect.

6.5 Accreditation Requirements for Satellite Facilities for Major Events

In general, the reporting time requirements for a major Event require that the Laboratory facility be at the location in proximity to the competition such that Samples can be delivered by Event Doping Control staff. This may require relocation of an existing Laboratory for a period of time sufficient to validate operations at the satellite facility and perform the testing for the Event.

In extraordinary circumstances, Samples may be transferred to an existing Laboratory facility. There must be agreement between the Major Event Organization and WADA regarding whether testing requirements such as turn-around time and the Athlete rights are met for in any eventuality. If the Laboratory is functioning within its regular facility, the requirements stated below with respect to facilities do not apply. The Laboratory will, however, be required to report on staffing, equipment, and Sample transport issues.

The Laboratory shall be responsible for providing WADA with regular updates on the progress of the testing facilities.

6.5.1 Participate in an initial WADA/ISO visit/inspection
WADA may visit the Laboratory facility as soon as it is available to determine whether the facility is adequate. Expenses related to such a visit shall be at the Laboratory’s expense. Particular emphasis will be placed on the adequacy of security
considerations, the physical layout of the space to ensure that adequate separation of various parts of the Laboratory are maintained, and to provide a preliminary review of other key support elements.

6.5.2 Document ISO/IEC 17025 accreditation of the satellite facility
At least one month prior to the major Event, the Laboratory must provide documentation that the national accrediting body has provided ISO/IEC accreditation for the satellite facility in compliance with the Application of ISO/IEC 17025 to the Analysis of Doping Control Samples (Section 5). WADA may require that a WADA consultant be present at the national accrediting body audit of the satellite facility. WADA’s expenses associated with such audit, will be at the Laboratory’s expense.

6.5.3 Complete a Pre-Event Report on Facilities and Staff
At least one (1) month prior to the Event, the Laboratory must report:

- List of Laboratory staff
- List of staff scientists not normally employed by the Laboratory (if required)
- Training plan for new staff scientists
- List of instrumental resources and equipment
- Procedure manual specific to the satellite facility including analytical methods
- Summary of results management process including criteria for determining positive and negative results
- Methods of reporting test results in a secure manner to the appropriate authorities

Any changes that occur prior to the Event should be immediately reported to WADA.

Even if the testing is to be done at the Laboratory’s regular facility, the Pre-Event Report must be completed, particularly in regard to personnel changes and any additional equipment.

6.5.4 Participate in WADA accreditation audit

WADA may choose to perform an independent on-site audit or a document audit of the satellite facility. Should an on-site audit take place, WADA expenses related to the audit will be at the Laboratory’s expense. This audit may include analysis of a set of proficiency testing samples. The full complement of staff must be in attendance. Particular emphasis will be placed on involvement of new staff members to assess their competence.

6.5.5 Review the reports and correct identified non-conformities
The Laboratory Director must address and correct any identified non-compliances. The audit report and documentation of the corrective actions must be submitted to WADA.
6.5.6 Issue and publication of a temporary and limited Accreditation certificate

Based on the documentation provided, WADA shall make a decision regarding accreditation of the Laboratory. In the event that accreditation is awarded, WADA shall issue an accreditation for the period of the Event and an appropriate time before and after the actual competition.

6.5.7 Monitoring and assessment during the Event

WADA may choose at its sole discretion to have an observer in the Laboratory during the Event. The Laboratory Director is expected to provide full cooperation to the observer.

WADA, in conjunction with the Major Event Organization, will submit double blind proficiency testing samples to the Laboratory.

In the event of a false positive, the Laboratory will immediately cease testing for the class of Prohibited Substances and Methods. The Laboratory shall apply corrective actions within 12 hours of notification of the false positive. All Samples analyzed prior to the false positive will be re-analyzed for the class of Prohibited Substances and Methods for which the non-compliance occurred. The results of the investigation and analysis will be presented to WADA within 24 hours unless otherwise agreed in writing.

In the event of a false negative, the Laboratory will be required to investigate the root cause and apply corrective actions within 24 hours of notification of the false negative result. A representative group of Samples in appropriate number to ensure that the risk of false negatives is minimal will be re-analyzed for the class of Prohibited Substances and Methods for which the non-compliance occurred. The results of the investigation and analysis will be presented to WADA within 48 hours unless otherwise agreed in writing.

7.0 Requirements for supporting an Adverse Analytical Finding in the Adjudication Process

This section describes the relevant procedures to be followed where an Athlete challenges an Adverse Analytical Finding in a hearing as provided for by the Code.

7.1 Laboratory Documentation Package

In support of any Adverse Analytical Finding the Laboratory is required to provide the Laboratory Documentation Package described in detail in the Technical Document on Laboratory Documentation Packages.

The Laboratory is not required to provide any documentation not specifically included in the Laboratory Documentation Package. Therefore, the Laboratory is not required to support an Adverse Analytical Finding by producing, either to the Testing Authority...
or in response to discovery requests related to the hearing, standard operating procedures, general quality management documents (e.g., ISO compliance documents) or any other documents not specifically required by Technical Document on Laboratory Documentation Packages. References in the *International Standard for Laboratories* to ISO requirements are for general quality control purposes only and have no applicability to any adjudication of any specific *Adverse Analytical Finding*. 
PART THREE: ANNEXES

ANNEX A - WADA PROFICIENCY TESTING PROGRAM

The WADA Proficiency Testing (PT) Program is designed to evaluate Laboratory proficiency and to improve test result uniformity between Laboratories, and to provide educational opportunities for the WADA-accredited Laboratories. The purpose of the individual PT sample will determine its composition and form.

1. Probationary period
The Proficiency Testing (PT) program is a part of the initial evaluation of a Laboratory seeking accreditation. In addition to providing samples as part of quarterly PT samples, the WADA will provide upon request samples from past PT rounds in order to allow the applicant Laboratory with an opportunity to evaluate its performance against the recorded performance of accredited Laboratories.

All procedures associated with the handling and testing of the PT samples by the Laboratory are, to the greatest extent possible, to be carried out in a manner identical to that applied to routine Laboratory Samples, unless otherwise specified. No effort should be made to optimize instrument (e.g., change multipliers or chromatographic columns) or method performance prior to analyzing the PT samples unless it is a scheduled maintenance activity. Methods or procedures used in routine testing should be employed.

Successful participation in 12-24 months of PT sample rounds is required before a Laboratory is eligible to be considered for accreditation. The PT samples shall occur at least quarterly and will consist of a minimum of five (5) samples per challenge. At least four (4) PT samples will contain Threshold Substances. Blank and adulterated samples may also be included.

2. Maintenance/Re-accreditation period
After accreditation, Laboratories shall be challenged with at least five (5) PT samples each quarter. Each year at least two (2) samples will contain Threshold Substances. Blank and adulterated samples may be included.

All procedures associated with the handling and testing of the PT samples by the Laboratory are, to the greatest extent possible, to be carried out in a manner identical to that applied to routine Laboratory Samples, unless otherwise specified. No effort should be made to optimize instrument (e.g., change multipliers or chromatographic columns) or method performance prior to analyzing the PT samples unless it is a scheduled maintenance activity. Methods or procedures not used in routine testing should not be employed.
2.1 Open PT Samples
The Laboratory may be directed to analyze a PT sample for a specific Prohibited Substance. In general, this approach is used for educational purposes or for data gathering.

2.2 Blind PT Samples
The Laboratory will be aware that the sample is a PT sample, but will not be aware of the content of the sample. Performance on blind PT samples is to be at the same level as for the open or non-blind PT samples.

2.3 Reporting – Open and Blind Proficiency Samples
The Laboratory should report the results of open and blind PT samples to WADA in the same manner as specified for routine Samples. For some samples or PT sample sets, additional information may be requested from the Laboratory.

2.4 Double Blind Proficiency Sample
The Laboratory will receive PT sample sets which are indistinguishable from normal testing samples. The samples may consist of blank, adulterated or positive samples. These samples may be used to assess turn-around time, compliance with documentation package requirements, and other non-analytical performance criteria as well as Laboratory proficiency.

3. Proficiency Test Sample Composition

3.1 Description of the Drugs
PT samples contain those Prohibited Substances, Metabolite(s) of Prohibited Substances, and Marker(s) of Prohibited Substances and Methods which each accredited Laboratory must be prepared to assay in concentrations that allow detection of the analytes by commonly used screening techniques. These are generally concentrations that might be expected in the urine of drug users. For some analytes, the sample composition may consist of the parent drug as well as major Metabolites. The actual composition of the PT samples supplied to different Laboratories in a particular PT sample may vary but, within any annual period, all Laboratories participating are expected to have analyzed the same total set of samples.

A sample may contain more than one Prohibited Substance, Metabolite(s), or Marker of a Prohibited Substance or Method. A PT sample will not contain more than three substances or their Metabolite(s), or Markers of Prohibited Substances or Methods. It is possible that the sample will contain multiple Metabolites of a single substance, which would represent the presence of a single Prohibited Substance. All Metabolites detected should be reported according to the Laboratory’s standard operating procedures.

3.2 Concentrations
PT samples may be spiked with Prohibited Substances and/or their Metabolites or may be from authentic administration studies. For Threshold Substances, the
concentration in the sample will be guided by, but not limited to, one of the following criteria:

i) at least 20 percent above the threshold for either the initial assay or the confirmatory test, depending on which is to be evaluated;

ii) near or below the threshold limit for special purposes. In this case, the Laboratory would be directed to analyze the Sample for a particular Prohibited Substance as part of an educational challenge and will not be considered for evaluation for the purposes of the PT program.

For Non-threshold Substances, the concentration will be guided by, but not limited to, one of the following criteria:

i) the Prohibited Substance and/or its major Metabolite(s) will be present in quantities greater than the Minimum Required Performance Limit;

ii) the Prohibited Substance and/or its major Metabolite(s) will be present near the limit of detection for special purposes. In this case, the Laboratory would be directed to analyze the sample for a particular Prohibited Substance as part of an educational challenge and will not be considered for evaluation for the purposes of the PT program.

These concentrations and drug types may be changed periodically in response to factors such as changes in detection technology and patterns of drug use.

Negative samples do not contain concentrations of any of the target drugs above the Minimum Required Performance Limit when analyzed by the normally used methods.

3.3 Blank or Adulterated Samples
PT samples include those that do not contain prohibited drugs or samples which have been deliberately adulterated by the addition of extraneous substances designed to dilute the sample, degrade the analyte or to mask the analyte during the analytical determination.

4. Evaluation of Proficiency Testing Results
4.1 Evaluation of Quantitative Results
When a quantitative determination has been reported, the results can be scored based on the true or consensus value of the sample analyzed and a standard deviation which may be set either by the group results or according to the expected precision of the measurement. The z-score is calculated using the equation

\[ z = \frac{x - \hat{x}}{\delta} \]

Where \( x \) is the value found

\( \hat{x} \) is the assigned value

\( \delta \) is the target value for standard deviation
The target relative standard deviation will be set in such a way that an absolute z-score between two (2) and three (3) is deemed **questionable** performance. A z-score greater than three (3) is deemed **unsatisfactory** performance.

In addition, re-scaled sum of score (RSZ) and re-scaled sum of squared scores (RSSZ) will be calculated. While the z score gives an estimate of bias, the RSZ, by retaining the sign of the biases, will reflect consistent systematic bias. The RSSZ, by eliminating the possibility that positive and negative bias will cancel, provides another indicator of bias. The RSZ and RSSZ are calculated by the equations

\[
RSZ = \sum \frac{z}{\sqrt{m}}
\]

\[
RSSZ = \sum \frac{z^2}{m}
\]

where m is the number of tests.

### 4.2 Probationary Period

#### 4.2.1
Any false positive reported automatically disqualifies a Laboratory from further consideration for accreditation. The Laboratory will be eligible for reinstatement upon providing documentation that satisfies WADA that remedial and preventative actions have been implemented.

#### 4.2.2
An applicant Laboratory is to achieve an overall grade level of 90 percent for PT samples required during the probationary period, i.e., it must correctly identify and confirm 90 percent of the total drug challenges (qualitative including adulterated samples).

#### 4.2.3
An applicant Laboratory is to obtain satisfactory Z-scores for any quantitative results reported based on the mean of three replicate determinations. For the purposes of accreditation a quantitative result is required for threshold drugs. The relative standard deviation is to be commensurate with the validation data.

Any Laboratory that fails to achieve a satisfactory score for at least 90% of the quantitative determinations during the probationary period will be disqualified from further consideration. If the Laboratory receives fewer than 10 samples for quantitation in the year, the Laboratory may be allowed a single unsatisfactory result in the quantitative portion of the PT program during a 12 month period. The Laboratory will be eligible for reinstatement upon providing documentation that satisfies WADA that remedial and preventative actions have been implemented.
4.3 Maintenance and Re-Accreditation Period

4.3.1 No false positive drug identification is acceptable for any drug and the following procedures are to be followed when dealing with such a situation:

i) The Laboratory is immediately informed of a false positive error by the WADA.

ii) The Laboratory is to provide the WADA with a written explanation of the reasons for the error within five (5) working days. This explanation is to include the submission of all quality control data from the batch of samples that included the false positive sample if the error is deemed to be technical/scientific.

iii) The WADA shall review the Laboratory’s explanation promptly and decide what further action, if any, to take.

iv) If the error is determined to be an administrative error (clerical, sample mix-up, etc), the WADA may direct the Laboratory to take corrective action to minimize the occurrence of the particular error in the future and, if there is reason to believe the error could have been systematic, may require the Laboratory to review and re-analyze previously run Samples.

v) If the error is determined to be a technical or methodological error, the Laboratory may be required to re-test all Samples analyzed positive by the Laboratory from the time of final resolution of the error back to the time of the last satisfactory proficiency test round. A statement signed by the Laboratory Director shall document this re-testing. The Laboratory may also be required to notify all clients whose results may have been affected of the error as part of its quality management system. Depending on the type of error that caused the false positive, this retesting may be limited to one analyte, a class of Prohibited Substances or Methods, or may include any prohibited drug. The Laboratory shall immediately notify the WADA if any result on a Sample that has been reported to a client is detected as a false positive. WADA may suspend or revoke the Laboratory’s accreditation. However, if the case is one of a less serious error for which effective corrections have already been made, thus reasonably assuring that the error will not occur again, the WADA may decide to take no further action.

vi) During the time required to resolve the error, the Laboratory remains accredited but has a designation indicating that a false positive result is pending resolution. If the WADA determines that the Laboratory’s accreditation must be suspended or revoked, the Laboratory’s official status becomes “Suspended” or “Revoked” until the Suspension or Revocation is lifted or any process complete.

4.3.2 An accredited Laboratory must correctly identify 100 percent of the Prohibited Substances to pass the round of PT samples. It must correctly identify and confirm 100 percent of the total PT samples (qualitative including adulterated samples).

4.3.3 An accredited Laboratory is to obtain satisfactory Z-scores for any quantitative results reported based on the mean of three replicate determinations. For the purposes of accreditation a quantitative result is required for threshold drugs.
The relative standard deviation is to be commensurate with the validation data.

Any Laboratory that fails to achieve a satisfactory score for quantitative determinations will be deemed to have failed that sample challenge. The Laboratory must achieve a satisfactory score on 90% of the quantitative samples during the year. If the Laboratory receives fewer than 10 samples for quantitation in the year, the Laboratory may be allowed a single unsatisfactory result in the quantitative portion of the PT program during a 12 month period.

4.4 Laboratories failing a proficiency test round are informed immediately by WADA. Laboratories must take and report corrective action within 30 calendar days to WADA. Laboratories may otherwise be advised by WADA to take corrective action for a given reason or to change a corrective action which has previously been reported to WADA. The corrective action reported to WADA must be implemented in the routine operation of the Laboratory. Repeated failures of the same type will result in WADA requiring corrective action.

Laboratories failing two consecutive rounds of the PT scheme will be immediately suspended. The Laboratory is required to provide documentation of corrective action with 10 working days of notification of Suspension. Failure to do so will result in immediate Revocation of the accreditation. Lifting of the Suspension occurs only when corrective action has been taken and reported to the WADA. The WADA may choose, at its sole discretion, to submit additional PT samples to the Laboratory or to require that the Laboratory be re-audited, at the expense of the Laboratory after having furnished satisfactory results for another proficiency testing round.

4.5 WADA is to evaluate the annual performance of all accredited Laboratories.
ANNEX B - LABORATORY CODE OF ETHICS

1. Confidentiality
   The heads of Laboratories, their delegates and Laboratory staff shall not discuss or comment to the media on individual results prior to the completion of any adjudication without consent of the organization that supplied sample to the Laboratory and the organization that is asserting the Adverse Analytical Finding in adjudication.

2. Research
   Laboratories are entitled to participate in research programs provided that the Laboratory director is satisfied with the bona fide nature and the programs have received proper ethical (e.g. human subjects) approval.

   2.1. Research in Support of Doping Control
       The Laboratories are expected to develop a program of research and development to support the scientific foundation of Doping Control. This research may consist of the development of new methods or technologies, the pharmacological characterization of a new doping agent, the characterization of a masking agent or method, and other topics relevant to the field of Doping Control.

   2.2. Human subjects
       The Laboratories must follow the Helsinki Accords and any applicable national standards as they relate to the involvement of human subjects in research.

       Voluntary informed consent must also be obtained from human subjects in any drug administration studies for the purpose of development of a Reference Collection or proficiency testing materials.

   2.3. Controlled substances
       The Laboratories are expected to comply with the relevant national laws regarding the handling and storage of controlled (illegal) substances.

3. Testing

3.1. Competitions
   The Laboratories shall only accept and analyze Samples originating from known sources within the context of Doping Control programs conducted in competitions organized by national and international sports governing bodies. This includes national and international federations, National Olympic Committees, national associations, universities, and other similar organizations. This rule applies to Olympic and non-Olympic sports.

   Laboratories should exercise due diligence to ascertain that the samples are collected according to the World Anti-Doping Code International Standard for
Testing or the International Standard for Doping Control (ISO/PAS 18873), or similar guidelines. These guidelines must include collection of Split Samples; appropriate Sample container security considerations; and formal chain of custody conditions.

3.2. **Out-of-competition**

The Laboratories shall accept Samples taken during training (or Out-of-competition) only if the following conditions are simultaneously met:

(a) That the Samples have been collected and sealed under the conditions generally prevailing in competitions themselves as in Section 3.1 above;
(b) If the collection is a part of an anti-doping program; and
(c) If appropriate sanctions will follow a positive case.

Laboratories shall not accept Samples, for the purposes of either screening or identification, from commercial or other sources when the conditions in the above paragraph are not simultaneously met.

Laboratories shall not accept Samples from individual Athletes on a private basis or from individuals or organizations acting on their behalf.

These rules apply to Olympic and non-Olympic sports.

3.3. **Clinical or Forensic**

Occasionally the Laboratory is requested to analyze a Sample for a banned drug or endogenous substance allegedly coming from a hospitalized or ill Person in order to assist a physician in the diagnostic process. Under this circumstance, the Laboratory director must explain the pre-testing issue to the requester and agree subsequently to analyze the Sample only if a letter accompanies the Sample and explicitly certifies that the Sample is for medical diagnostic or therapeutic purposes.

The letter must also explain the medical reason for the test.

Work to aid in forensic investigations may be undertaken but due diligence should be exercised to ensure that the work is requested by an appropriate agency or body. The Laboratory should not engage in testing or expert testimony that would call into question the integrity of the individual or the scientific validity of work performed in the anti-doping program.

3.4. **Other Testing**

If the Laboratory accepts Samples from an entity that is not a Testing Authority recognized by the World Anti-Doping Code, it is the responsibility of the Laboratory Director to ensure that any Adverse Analytical Finding will be processed according to the Code and that the results cannot be used in any way by an Athlete or associated Person to avoid detection.

The Laboratory should not engage in testing that undermines or is detrimental to the anti-doping program of WADA. The Laboratory should not provide results that in any way suggests endorsement of products or services for Athletes or sports authorities. The Laboratory should not provide testing services in defense of an Athlete in a Doping Control adjudication.
3.5. Sharing of Information and Resources

3.5.1 New Substances
The WADA-accredited Laboratories for Doping Control shall inform WADA when they detect a new or suspicious doping agent.

When possible, the Laboratories shall share information regarding the detection of potentially new or rarely detected doping agents.

3.5.2 Sharing of Knowledge
Sharing of knowledge shall consist of, but not be limited to, dissemination of information about new Prohibited Substances and Methods and their detection within sixty (60) days of discovery. This can occur by participation in scientific meetings, publication of results of research, sharing of specific details of methodology necessary for detection, and working with WADA to distribute information by preparation of a reference substance or biological excretion study or information regarding the chromatographic retention behaviour and mass spectra of the substance or its Metabolites. The Laboratory director or staff shall participate in developing standards for best practice and enhancing uniformity of testing in the WADA-accredited Laboratory system. An example of the latter would be in establishing reporting standards for determination of an Adverse Analytical Finding.

4. Conduct Detrimental to the Anti-Doping Program
The Laboratory personnel shall not engage in conduct or activities that undermine or are detrimental to the anti-doping program of WADA, an International Federation, a National Anti-Doping Organization, a National Olympic Committee, a Major Event Organization Committee, or the International Olympic Committee. Such conduct could include, but is not limited to, conviction for fraud, embezzlement, perjury, etc. that would cast doubt on the integrity of the anti-doping program.

No Laboratory employee or consultant shall provide counsel, advice or information to Athletes or others regarding techniques or methods to mask detection of, alter metabolism of, or suppress excretion of a Prohibited Substance or Marker of a Prohibited Substance or Method in order to avoid an Adverse Analytical Finding. No Laboratory staff shall assist an Athlete in avoiding collection of a Sample. This paragraph does not prohibit presentations to educate Athletes, students, or others concerning anti-doping programs and Prohibited Substances or Methods.
## ANNEX C - LIST OF TECHNICAL DOCUMENTS

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<td>TD2003LCOC</td>
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<td>Minimum Required Performance Limits for Detection of Prohibited Substances</td>
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<td>Reporting Guidance for Salbutamol and other Beta-2 Agonists</td>
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ADDENDUM TO THE INTERNATIONAL STANDARD FOR LABORATORIES

Requirements for Anti-Doping Analysis of Whole Blood, Plasma, Serum or Other Blood Fractions.

Several anti-doping tests have now been developed on the blood matrix, and can be applied to whole blood or blood fractions (e.g. plasma, serum) to determine doping practices in sport.

As currently established, the World Anti-Doping Code International Standard for Laboratories does not specifically cover procedures to handle and analyze the blood matrix in anti-doping Laboratories. Provision 5.2.4.4.1 of the International Standard for Laboratories refers to specific requirements for the analysis of the blood matrix to be promulgated separately.

The present document is established to complement or amend the existing International Standard for Laboratories, to provide ad hoc requirements to the Laboratories for handling and analyzing blood Samples in the context of anti-doping analysis.

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

Specific Requirements for Whole Blood or Blood Fractions Analyses

In any Sections that refer to urine, and are carried over into this document by reference, the terms blood, plasma, or serum shall be substituted as appropriate. Unless otherwise stated, there is no blood, plasma, or serum equivalent to the urine integrity test or data, and any reference to this should be deleted.

The following sections of Section 5 of the International Standard for Laboratories apply to the analysis of blood Samples by reference:

5.1 and all subsections;

5.2.1 and all subsections;
5.2.2 and all subsections with the exception of subsections 5.2.2.5 and 5.2.2.6 which are replaced by the following:

Provisions 5.2.2.5 and 5.2.2.6 apply to plasma, serum or other blood fractions containing no blood cells. Samples shall be frozen on reception until analysis and as soon as practical after aliquots have been taken for analysis. The Laboratory shall retain the A and B Samples for a minimum of three (3) months after the Testing Authority receives a negative report. The Samples shall be retained frozen under appropriate conditions. Samples with irregularities shall be held frozen for a minimum of three (3) months following the report to the Testing Authority.

Samples that consist of whole blood or blood fractions containing intact cells shall be stored at approximately 4 degree Celsius on reception and should be analyzed within 48 hours. As soon as practicable after aliquots have been taken for analysis, Samples should be returned to approximately 4 degree Celsius storage. The anti-doping Laboratory shall retain the A and B Samples with or without Adverse Analytical Finding for a minimum of 1 month after the Testing Authority receives the final analytical (“A” or “B” Sample) report.

5.2.3 and all subsections;

5.2.4 all subsections with the exception of subsections 5.2.4.1, 5.2.4.3.1.1, 5.2.4.2.1, 5.2.4.2.4, 5.2.4.3.1.2, 5.2.4.3.2.1, which are replaced or amended where needed by the following:

5.2.4.3.1.1 Screening and confirmation tests may be performed initially on the same aliquot of Sample. The test should be repeated on a fresh aliquot of the Sample to ensure that the initial test results are repeatable from the same Sample bottle.

Detection of blood transfusion relies upon the use of multiple antibodies and flow cytometry to reveal several red blood cell antigens. Consequently article 5.2.4.3.1.3 does not apply for this type of immunochemical analysis.

5.2.4.3.2.1, for “B” Sample confirmation in whole blood or blood fraction with blood cells only, the “B” Sample analysis shall be completed within 30 days of notification of an “A” Sample Adverse Analytical Finding.

5.2.5 and all subsections;

5.2.6 and all subsections with the exception of 5.2.6.4, 5.2.6.7, and 5.2.6.8.
5.3 and all subsections;

5.4 and all subsections with the exception of 5.4.4.1, 5.4.4.2.2, 5.4.4.3, 5.4.6, and 5.4.7 which are amended, where applicable, by the following:

5.4.4.1 Selection of Methods
Standard methods are generally not available for Doping Control analyses. The Laboratory shall develop, validate and document in-house methods for substances on the Prohibited List or their Metabolites or Markers. The methods shall be selected and validated so they are fit for the purpose.

5.4.4.3 The Laboratory should provide an estimation of the measurement uncertainty where applicable.

5.4.6.2 Reference Collection
A collection of Samples or isolates may be obtained from a biological matrix following an authentic and verifiable administration or traceable mixture of a Prohibited Substance or Method, providing that the analytical data are sufficient to justify the identity of the Prohibited Substance or Metabolite of a Prohibited Substance or Metabolite of a Prohibited Substance or Marker of a Prohibited Substance or Method.

5.4.7 Assuring the quality of test results

5.4.7.1. The performance of Laboratories for analysis on the blood matrix will be evaluated as deemed necessary by the World Anti-Doping Agency under the principles of the International Standard for Laboratories specifically applied to the blood matrix.

5.4.7.2 The Laboratory shall have in place a quality assurance system, including the submission of blind quality control samples, that challenges the entire scope of the testing process.

5.4.7.3 Analytical performance should be monitored by operating quality control schemes appropriate to the type and frequency of blood testing performed by the Laboratory.

Applicable Technical Documents for blood analysis:

Laboratory Documentation Packages.

Laboratory Internal Chain of Custody.
The World Anti-Doping Code

INTERNATIONAL STANDARD FOR TESTING

version 3.0

June 2003
PREAMBLE


The *International Standard for Testing* is extracted from the proposed ISO International Standard for Doping Control (ISO ISDC) which is being prepared by an expert group within the International Anti-Doping Arrangement (IADA) and WADA. The ISO ISDC is based on the IADA International Standard for Doping Control (ISDC)/ISO PAS 18873 (1999). WADA supports and is an active partner with IADA in developing the Proposed ISO ISDC to a full ISO standard. The ISO process is expected to be completed in mid 2004.

Version 1.0 of the *International Standard for Testing* was circulated to Signatories and governments for review and comments in November 2002. Version 2.0 was based on the comments and proposals received from Signatories and governments.

All Signatories and governments were consulted and have had the opportunity to review and provide comments on version 2.0. This draft version 3.0 will be presented for approval to the WADA Executive Committee on June 7th 2003.

The official text of the *International Standard for Testing* shall be maintained by WADA and shall be published in English and French. In the event of any conflict between the English and French versions, the English version shall prevail.
PART ONE: INTRODUCTION, CODE PROVISIONS AND DEFINITIONS

1.0 Introduction and scope

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

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

The *International Standard for Testing*, including all annexes, is mandatory for all *Signatories* to the *Code*.

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

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

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

The standards included in the *International Standard for Testing* are extracted from the ISO International Standard for Doping Control (ISO ISDC), which also includes management and support processes for *Testing* activities.

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

The following articles in the Code directly address the International Standard for Testing:

**Code Article 2 Anti-Doping Rule Violations:**
2.3 Refusing, or failing without compelling justification, to submit to Sample collection after notification as authorized in applicable anti-doping rules or otherwise evading Sample collection.

2.4 Violation of applicable requirements regarding Athlete availability for Out-of-Competition Testing including failure to provide required whereabouts information and missed tests which are declared based on reasonable rules.

2.5 Tampering, or Attempting to tamper, with any part of Doping Control.

2.8 Administration or Attempted administration of a Prohibited Substance or Prohibited Method to any Athlete, or assisting, encouraging, aiding, abetting, covering up or any other type of complicity involving an anti-doping rule violation or any Attempted violation.

**Code Article 3 Proof of Doping:**
3.2.2 Departures from the International Standard for Testing which did not cause an Adverse Analytical Finding or other anti-doping rule violation shall not invalidate such results. If the Athlete establishes that departures from the International Standard occurred during Testing then the Anti-Doping Organization shall have the burden to establish that such departures did not cause the Adverse Analytical Finding or the factual basis for the anti-doping rule violation.

**Code Article 5 Testing:**
5.1 Test Distribution Planning. Anti-Doping Organizations conducting Testing shall in coordination with other Anti-Doping Organizations conducting Testing on the same Athlete pool:

5.1.1 Plan and implement an effective number of In-Competition and Out-of-Competition tests. Each International Federation shall establish a Registered Testing Pool for International-Level Athletes in its sport, and each National Anti-Doping Organization shall establish a national Registered Testing Pool for Athletes in its country. The national-level pool shall include International-Level Athletes from that country as well as other national-level Athletes. Each International Federation and National Anti-Doping Organization shall plan and conduct In-Competition and Out-of-Competition Testing on its Registered Testing Pool.

5.1.2 Make No Advance Notice Testing a priority.

5.1.3 Conduct Target Testing.

5.2 Standards for Testing. Anti-Doping Organizations conducting Testing shall conduct such Testing in conformity with the International Standard for Testing.
**Code Article 7 Results Management:**

7.3 **Further Review of Adverse Analytical Finding Where Required by Prohibited List.** The Anti-Doping Organization or other reviewing body established by such organization shall also conduct any follow-up investigation as may be required by the Prohibited List. Upon completion of such follow-up investigation, the Anti-Doping Organization shall promptly notify the Athlete regarding the results of the follow-up investigation and whether or not the Anti-Doping Organization asserts that an anti-doping rule was violated.

**Code Article 10 Sanctions on Individuals:**

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

**Code Article 14 Confidentiality and Reporting:**

14.3 **Athlete Whereabouts Information.** Athletes who have been identified by their International Federation or National Anti-Doping Organization for inclusion in an Out-of-Competition Testing pool shall provide accurate, current location information. The International Federations and National Anti-Doping Organizations shall coordinate the identification of Athletes and the collecting of current location information and shall submit it to WADA.

WADA shall make this information accessible to other Anti-Doping Organizations having authority to test the Athlete as provided in Article 15. This information shall be maintained in strict confidence at all times; shall be used exclusively for purposes of planning, coordinating or conducting Testing; and shall be destroyed after it is no longer relevant for these purposes.

14.5 **Doping Control Information Clearing House.** WADA shall act as a central clearing house for Doping Control Testing data and results for International-Level Athletes and national-level Athletes that have been included in their National Anti-Doping Organization's Registered Testing Pool. To facilitate coordinated test distribution planning and to avoid unnecessary duplication in Testing by the various Anti-Doping Organizations, each Anti-Doping Organization shall report all In-Competition and Out-of-Competition tests on such Athletes to the WADA clearinghouse as soon as possible after such tests have been conducted. WADA shall make this information accessible to the Athlete, the Athlete's National Federation, National Olympic Committee or National Paralympic Committee, National Anti-Doping Organization, International Federation, and the International Olympic Committee or International Paralympic Committee. Private information regarding an Athlete shall be maintained by WADA in strict confidence. WADA shall, at least annually, publish statistical reports summarizing such information.

**Code Article 15 Clarification of Doping Control Responsibilities:**

15.1 **Event Testing.** The collection of Samples for Doping Control does and should take place at both International Events and National Events. However, only a single organization should be responsible for initiating and directing Testing during an Event. At International Events, the collection of Doping Control Samples shall be initiated and directed by the
international organization which is the ruling body for the Event (e.g., the IOC for the Olympic Games, the International Federation for a World Championship, and PASO for the Pan American Games). If the international organization decides not to conduct any Testing at such an Event, the National Anti-Doping Organization for the country where the Event occurs may, in coordination with and with the approval of the international organization or WADA, initiate and conduct such Testing. At National Events, the collection of Doping Control Samples shall be initiated and directed by the designated National Anti-Doping Organization of that country.

15.2 Out-of-Competition Testing. Out-of-Competition Testing is and should be initiated and directed by both international and national organizations. Out-of-Competition Testing may be initiated and directed by: (a) WADA; (b) the IOC or IPC in connection with the Olympic Games or Paralympic Games; (c) the Athlete's International Federation; (d) the Athlete's National Anti-Doping Organization; or (e) the National Anti-Doping Organization of any country where the Athlete is present. Out-of-Competition Testing should be coordinated through WADA in order to maximize the effectiveness of the combined Testing effort and to avoid unnecessary repetitive Testing of individual Athletes.

15.4 Mutual Recognition. Subject to the right to appeal provided in Article 13, the Testing, therapeutic use exemptions and hearing results or other final adjudications of any Signatory which are consistent with the Code and are within that Signatory's authority, shall be recognized and respected by all other Signatories. Signatories may recognize the same actions of other bodies which have not accepted the Code if the rules of those bodies are otherwise consistent with the Code.

3.0 Terms and definitions

3.1 Defined terms from the Code

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

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

Athlete: For purposes of Doping Control, any Person who participates in sport at the international level (as defined by each International Federation) or national level (as defined by each National Anti-Doping Organization) and any additional Person who participates in sport at a lower level if designated by the Person's National Anti-Doping Organization. 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.
**Code:** The World Anti-Doping Code.

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

**Consequences of Anti-Doping Rules Violations:** An Athlete’s or other Person’s violation of an anti-doping rule may result in one or more of the following: (a) **Disqualification** means the Athlete’s results in a particular Competition or Event are invalidated, with all resulting consequences including forfeiture of any medals, points and prizes; (b) **Ineligibility** means the Athlete or other Person is barred for a specified period of time from participating in any Competition or other activity or funding as provided in Article 10.9; and (c) **Provisional Suspension** means the Athlete or other Person is barred temporarily from participating in any Competition prior to the final decision at a hearing conducted under Article 8 (Right to a Fair Hearing).

**Doping Control:** The process including test distribution planning, Sample collection and handling, laboratory analysis, results management, hearings and appeals.

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

**In-Competition:** For purposes of differentiating between In-Competition and Out-of-Competition Testing, unless provided otherwise in the rules of an International Federation or other relevant Anti-Doping Organization, an In-Competition test is a test where an Athlete is selected for Testing in connection with a specific Competition.

**Independent Observer Program:** A team of observers, under the supervision of WADA, who observe the Doping Control process at certain Events and report on observations. If WADA is Testing In-Competition at an Event, the observers shall be supervised by an independent organization.

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

**International Event:** An Event where the International Olympic Committee, the International Paralympic Committee, an International Federation, a Major Event Organization, or another international sport organization is the ruling body for the Event or appoints the technical officials for the Event.
**International-Level Athlete:** Athletes designated by one or more International Federations as being within the **Registered Testing Pool** for an International Federation.

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

**Minor:** A natural Person who has not reached the age of majority as established by the applicable laws of his or her country of residence.

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

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

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

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

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

**Provisional Suspension:** See Consequences above.

**Registered Testing Pool:** The pool of top level Athletes established separately by each International Federation and National Anti-Doping Organization who are subject to both In-Competition and Out-of-Competition Testing as part of that International Federation's or Organization's test distribution plan.

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

**Signatories:** Those entities signing the Code and agreeing to comply with the Code, including the International Olympic Committee, International Federations, International Paralympic Committee, National

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June 2003

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Olympic Committees, National Paralympic Committees, Major Event Organizations, National Anti-Doping Organizations, and WADA.

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

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

**WADA:** The World Anti-Doping Agency.

### 3.2 Defined Terms from the *International Standard for Testing*

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

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

**Chaperone:** An official who is trained and authorized by the ADO to carry out specific duties including notification of the Athlete selected for Sample collection, accompanying and observing the Athlete until arrival at the Doping Control Station, and/or witnessing and verifying the provision of the Sample where the training qualifies him/her to do so.

**Doping Control Officer:** An official who has been trained and authorised by the ADO with delegated responsibility for the on-site management of a Sample Collection Session.

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

**Failure to Comply:** A term used to describe Anti-Doping Rule Violations in Articles 2.3, 2.4, 2.5 and 2.8 of the Code.

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

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

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

**Sample Collection Session:** All of the sequential activities that directly involve the Athlete from notification until the Athlete leaves the Doping Control Station after having provided his/her Sample/s.

**Weighted:** A ranking method of selecting Athletes using criteria where the ranking is based on the potential risk of doping and possible doping patterns.
PART TWO: STANDARDS FOR TESTING

4.0 Planning

4.1 Objective

The objective is to plan and implement an effective distribution of Athlete tests.

4.2 General

Planning starts with establishing criteria for Athletes to be included in a Registered Testing Pool and ends with selecting Athletes for Sample collection.

The main activities are information gathering, risk evaluation, and developing, monitoring, evaluating and modifying the test distribution plan.

4.3 Requirements for establishing the Registered Testing Pool

4.3.1 The Anti-Doping Organization (ADO) shall define and document the criteria for Athletes to be included in a Registered Testing Pool. This shall include as a minimum:

- For International Federations (IFs): Athletes who compete at a high level of international competition, and

- For National Anti-Doping Organizations: Athletes who are part of national teams in Olympic and Paralympic sports and recognised national federations.

The criteria shall be reviewed at least annually and updated if required.

4.3.2 The ADO shall include Athletes under their authority in the Registered Testing Pool who are serving periods of Ineligibility or Provisional Suspensions as Consequences of Anti-Doping Rules Violations.

4.3.3 The Registered Testing Pool shall be reviewed and updated regularly to reflect changes in Athletes’ competing levels to ensure additions to or removals from the pool as required.
4.4 Requirements for collecting Athlete whereabouts information for the purposes of Out of Competition Testing

4.4.1 The ADO shall define procedures and/or systems for:

   a) Collecting, maintaining and monitoring sufficient whereabouts information to ensure that Sample collection can be planned and conducted at No Advance Notice for all Athletes included in the Registered Testing Pool, and

   b) When Athletes fail to provide accurate and timely whereabouts information, taking appropriate action to ensure the information stays up to date and complete.

4.4.2 As a minimum the following Athlete whereabouts information shall be collected:

   a) Name
   b) Sport/discipline,
   c) Home address
   d) Contact phone numbers
   e) Training times and venues
   f) Training camps
   g) Travel plans
   h) Competition schedule
   i) Disability if applicable, including the requirement for third party involvement in notification.

4.5 Requirements for test distribution planning

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

   a) Physical demands of the sport and possible performance enhancing effect that doping may elicit;
   b) Available doping analysis statistics;
   c) Available research on doping trends;
   d) Training periods and Competition season.

4.5.2 The ADO shall develop and document a test distribution plan based on information determined in 4.5.1, the number of Athletes per sport/discipline in the Registered Testing Pool and the evaluation outcomes of previous test distribution planning cycles.
4.5.3 The ADO shall allocate the number of Sample collections by type of Sample collection for each sport/discipline, including No Advance Notice, Out-of-Competition, In-Competition, blood and urine Sample collection, as required to achieve effective deterrence.

4.5.4 The ADO shall establish a system whereby the test distribution plan is reviewed and, if necessary, updated on a regular basis in order to incorporate new information and take into account Sample collection from Athletes in the Registered Testing Pool by other ADOs.

4.5.5 The ADO shall establish a system for maintaining test distribution planning data. Such data shall be used to assist with determining whether modifications to the plan are necessary. This information shall include as a minimum:

For each test:

a) The sport/discipline;

b) The country represented by the Athlete (if applicable);

c) The type of Sample collection (No Advance Notice, Out-of-Competition, In-Competition or advance notice);

d) The date of Sample collection; and

e) The country in which the Sample collection occurred.

In addition, for each Adverse Analytical Finding:

a) Dates of Sample collection and analysis;

b) Class of substance/s found;

c) Actual substance/s detected;

d) Sanctions of Anti-Doping Rules Violations, if any.

4.5.6 The ADO shall ensure that the athlete support personnel shall not be involved in the test distribution planning for their athletes.

4.5.7 In planning and conducting tests at International Event, and where the relevant IF does not have a doping control program that complies with this standard, the National Anti-Doping Organization shall be the preferred Sample collection supplier.

4.6 Requirements for selection of Athletes

4.6.1 In accordance with the number of Sample collections allocated to each sport/discipline in the test distribution plan, the ADO shall select Athletes for Sample collection using Target Testing, Weighted and random selection methods.
4.6.2 As a minimum, the ADO shall consider Target Testing Athletes based on the following information:

a) Injury;
b) Withdrawal or absence from expected Competition;
c) Going into or coming out of retirement;
d) Behaviour indicating doping;
e) Sudden major improvements in performance;
f) Changes in Athlete whereabouts information that can indicate a potential increase in the risk of doping, including moving to a remote location;
g) Athlete sport performance history;
h) Details of past Doping Controls;
i) Athlete reinstatement after a period of Ineligibility; and
j) Reliable information from a third party.

4.6.3 An ADO may select Athletes under their authority for Sample collection who are not included in the Registered Testing Pool defined in 4.3.1 and 4.3.2.

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

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

5.0 Notification of Athletes

5.1 Objective
To ensure that the selected Athlete is notified, the rights of the Athlete are maintained, there are no opportunities to manipulate the Sample to be provided and the notification is documented.

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

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

5.3 Requirements prior to notification of Athletes

5.3.1 No Advance Notice shall be the notification method for Out-of-Competition Sample collection whenever possible.

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

5.3.3 Sample Collection Personnel shall have official identification that is provided and controlled by the ADO. The minimum identification requirement is an official card/document naming the ADO through which they have been authorised. For DCOs, additional identification requirements shall include their name, their photograph and the card's/document's expiry date. For Blood Collection Officials additional identification requirements include evidence of their professional training in the collection of blood Samples.

5.3.4 The ADO shall establish criteria to validate the identity of an Athlete selected to provide a Sample. This ensures the selected Athlete is the Athlete who is notified.

5.3.5 The ADO, DCO or Chaperone, as applicable, shall establish the location of the selected Athlete and plan the approach and timing of notification, taking into consideration the specific circumstances of the sport/Competition and the situation in question.

5.3.6 For Out-of-Competition Sample collection, the ADO shall establish criteria to ensure that reasonable attempts are made to notify Athletes of their selection for Sample collection.

5.3.7 Reasonable attempts shall be defined by the ADO and at a minimum shall consider alternative times of day/evening and alternative locations over a specified period of time from the initial notification attempt.
5.3.8 The ADO shall establish a system for logging Athlete notification attempt/s and outcome/s.

5.3.9 The Athlete shall be the first one notified that he/she has been selected for Sample collection except where prior contact with a third party is required as specified in 5.3.10.

5.3.10 The ADO/DCO/Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification of the Athlete when the Athlete is a Minor, where required by an Athlete’s disability as provided for in Annex B - Modifications for Athletes with disabilities, or in situations where an interpreter is required for the notification.

5.3.11 If the Athlete can not be contacted after having made reasonable attempts using the information supplied in 4.4.2 and logging the attempts in accordance with 5.3.8, the DCO or ADO, as applicable, shall institute Annex A – Investigating a possible failure to comply.

5.3.12 The ADO shall not re-schedule or change a Sample collection from No Advance Notice to advance notice except where an unexpected situation forces the need for an advanced notice Sample collection. Any such decision shall be recorded.

5.3.13 Notification for advance notice Sample collection shall be by any means that indicates the Athlete received the notice.

5.4 Requirements for notification of Athletes

5.4.1 When initial contact is made, the ADO, DCO or Chaperone, as applicable, shall ensure that the Athlete and/or a third party if required in accordance with 5.3.10, 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 required, an interpreter;
      ii. Ask for additional information about the Sample collection process;
      iii. Request a delay in reporting to the Doping Control Station for valid reasons; and
      iv. Request modifications as provided for in Annex B – Modifications for Athletes with disabilities.
   e) Of the Athlete’s responsibilities, including the requirement to:
i. Remain within sight of the DCO/Chaperone at all times from the first moment of in-person notification by the DCO/Chaperone until the completion of the Sample collection procedure;

ii. Produce identification in accordance with 5.3.4; and

iii. Comply with Sample collection procedures and the possible consequences of failure to comply; and

iv. Report to the Doping Control Station, unless delayed for valid reasons, as soon as possible and within 60 minutes of notification for a No Advance Notice Sample collection and 24 hours of receipt of notification for an advance notice Sample collection.

f) Of the location of the Doping Control Station.

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

a) From this time until the Athlete leaves the Doping Control Station at the end of his/her Sample Collection Session, keep the Athlete under observation at all times.

b) Identify themselves to the Athlete using their official ADO identification card/document;

c) Confirm the Athlete’s identity as per the criteria established in 5.3.4. Any failure to confirm the identity of the Athlete shall be documented. In such cases, the DCO responsible for conducting the Sample Collection Session shall decide whether it is appropriate to report the situation in accordance with Annex A – Investigating a possible failure to comply.

5.4.3 The Chaperone/DCO shall then have the Athlete sign an appropriate form to acknowledge and accept the notification. If the Athlete refuses to sign that he/she has been notified or evades the notification, the Chaperone/DCO shall inform the Athlete of the consequences of failing to comply if possible, 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 and report the circumstances to the ADO. The DCO and ADO shall follow the steps prescribed in Annex A – Investigating a possible failure to comply.

5.4.4 The DCO/Chaperone shall consider any reasonable request by the Athlete to delay reporting to the Doping Control Station within 60 mins of acknowledgement and acceptance of notification and approve or reject such requests as appropriate in accordance with 5.4.5 and 5.4.6. The DCO shall document the reasons for any such delay that may require further investigation by the ADO. The first urine Sample post notification shall be collected.

5.4.5 A DCO may accept a request from an Athlete to delay reporting to the Doping Control Station beyond 60 mins, and/or once the athlete arrives at the Doping Control Station and wishes to leave if the Athlete
can be continuously chaperoned during the delay and if the request relates to the following activities:

a) Participation in a victory ceremony;
b) Fulfilment of media commitments;
c) Competing in further *competitions*;
d) Performing a warm down;
e) Obtaining necessary medical treatment;
f) Locating a representative and/or interpreter.

The DCO shall document the reasons for delay in reporting to the Doping Control Station and/or reasons for leaving the Doping Control Station once arriving that may require further investigation by the ADO.

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

5.4.7 When an Athlete notified of an advance notice Sample collection does not report to the Doping Control Station at the designated time, the DCO shall use his/her judgement whether to attempt to contact the Athlete. At a minimum, the DCO shall wait 30 minutes after the appointed time before departing. If the Athlete still has not reported by the time the DCO departs, the DCO shall follow the requirements of Annex A – Investigating a possible failure to comply.

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

5.4.9 If, while keeping the Athlete under observation, Sample Collection Personnel observe any matter with potential to compromise the test, the circumstances shall be reported to and documented by the DCO. If deemed appropriate by the DCO, the DCO shall follow the requirements of Annex A – Investigating a possible failure to comply.

### 6.0 Preparing for the Sample Collection Session

#### 6.1 Objective

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

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

The main activities are:

a) Establishing a system for collecting details regarding the Sample Collection Session;

b) Establishing criteria for who may be authorised to be present during a Sample Collection Session;

c) Ensuring that the Doping Control Station meets the minimum criteria prescribed in 6.3.2;

d) Ensuring that Sample Collection Equipment used by the ADO meets the minimum criteria prescribed in 6.3.4.

6.3 Requirements for preparing for the Sample Collection Session

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

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

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

a) An Athlete’s entitlement to be accompanied by a representative and/or interpreter during the Sample Collection Session except when the Athlete is passing a urine Sample.

b) A Minor Athlete’s entitlement, and the witnessing DCO/Chaperone’s entitlement to have a representative observe the Chaperone when the Minor Athlete is passing a urine Sample, but without the representative directly observing the passing of the Sample unless requested to do so by the Minor Athlete.

c) An Athlete with a disability’s entitlement to be accompanied by a representative as provided for in Annex B - Modifications for Athletes with disabilities.
d) A WADA Independent Observer where applicable under the Independent Observer Program. The WADA Independent Observer shall not directly observe the passing of a urine Sample.

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

a) Have a unique numbering system incorporated into all bottles, containers, tubes or any other item used to seal the Athlete’s Sample;

b) Have a sealing system that is tamper evident;

c) Ensure the identity of the Athlete is not evident from the equipment itself;

d) Ensure that all equipment is clean and sealed prior to use by the Athlete.

7.0 Conducting the Sample Collection Session

7.1 Objective

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

7.2 General

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

The main activities are:

a) Preparing for collecting the Sample;

b) Collecting the Sample; and

c) Documenting the Sample collection.

7.3 Requirements prior to Sample collection

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

7.3.2 The DCO shall ensure that the Athlete is informed of his/her rights and responsibilities as specified in 5.4.1.
7.3.3 The DCO shall provide the Athlete with the opportunity to hydrate.

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

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

   a) The purpose of the Athlete leaving the Doping Control Station; and
   b) The time of return (or return upon completion of an agreed activity).

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

7.4 Requirements for Sample collection

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

   a) Annex C: Collection of urine Samples
   b) Annex D: Collection of blood Samples

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

7.4.3 If there are doubts as to the origin or authenticity of the Sample, the Athlete shall be asked to provide an additional Sample. If the Athlete refuses to provide an additional Sample the DCO shall institute Annex A – Investigating a possible failure to comply.

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

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

   a) Date, time and type of notification (No Advance Notice, advance notice, In-Competition or Out-of-Competition);
   b) Date and time of Sample provision;
   c) The name of the Athlete;
   d) The date of birth of the Athlete;
e) The gender of the Athlete;
f) The Athlete’s home address and telephone number;
g) The Athlete’s sport and discipline;
h) The Sample code number;
i) The name and signature of the Chaperone who witnessed the urine Sample provision;
j) The name and signature of the Blood Collection Official who collected the blood Sample, where applicable;
k) Required laboratory information on the Sample;
l) Medications and supplements taken and recent blood transfusion details if applicable, within the timeframe specified by the lab as declared by the Athlete;
m) Any irregularities in procedures;
n) Athlete comments or concerns regarding the conduct of the session, if provided;
o) The name and signature of the Athlete;
p) The name and signature of the Athlete’s representative, if required; and
q) The name and signature of the DCO.

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

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

8.0 Security/Post test administration

8.1 Objective

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

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

8.3 Requirements for Security/post test administration

8.3.1 The ADO shall define criteria ensuring that any sealed Sample will be stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station. The DCO shall ensure that any sealed Sample is stored in accordance with these criteria.

8.3.2 Without exception, all Samples collected shall be sent for analysis to a WADA accredited laboratory or as otherwise approved by WADA.

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

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

9.0 Transport of Samples and documentation

9.1 Objective

a) To ensure that Samples and related documentation arrive at the WADA accredited laboratory or as otherwise approved by WADA in proper condition to do the necessary analysis, and

b) To ensure the Sample Collection Session documentation is sent by the DCO to the ADO in a secure and timely manner.

9.2 General

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

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

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

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

9.3.3 Sealed Samples shall always be transported to the WADA accredited laboratory or as otherwise approved by WADA, using the ADO’s authorised transport method as soon as practicable after the completion of the Sample Collection Session.

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

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

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

Annex A - Investigating a possible failure to comply

A.1 Objective

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

A.2 Scope

Investigating a possible failure to comply begins when the ADO or a DCO becomes aware of a matter with the potential to compromise an Athlete’s test and ends when the ADO takes appropriate follow-up action based on the outcomes of its investigation into the possible failure to comply.

A.3 Responsibility

A.3.1 The ADO is responsible for ensuring that:

a) Any matters with the potential to compromise an Athlete’s test are assessed to determine if a possible failure to comply has occurred;

b) All relevant information, including information from the immediate surroundings when applicable, is obtained as soon as possible or when practicable to ensure that all knowledge of the matter can be reported and be presented as possible evidence; and

c) Appropriate documentation is completed to report any possible failure to comply.

A.3.2 Sample Collection Personnel are responsible for reporting to the DCO any matter with the potential to compromise a test, and the DCO is responsible for reporting such matters to the ADO.

A.4 Requirements

A.4.1 Any matters with the potential to compromise the test shall be reported as soon as practicable.

A.4.2 If the matter has potential to compromise the test, the Athlete shall be notified if possible:

a) Of the possible consequences;

b) That a possible failure to comply will be investigated by the ADO and appropriate follow-up action will be taken.
A.4.3 The necessary information about the possible failure to comply shall be obtained from all relevant sources as soon as possible and recorded.

A.4.4 If possible, the Athlete’s Sample Collection Session shall be completed.

A.4.5 The ADO shall establish a system for ensuring that the outcomes of its investigation into the possible failure to comply are considered for results management action and, if applicable, for further planning and Testing.
Annex B - Modifications for Athletes with disabilities

B.1 Objective

To ensure that the special needs of Athletes with disabilities are provided as much as possible in relation to the provision of a Sample.

B.2 Scope

The scope of determining whether modifications need to be considered starts with identification of situations where Sample collection involves Athletes with disabilities and ends with the necessary modifications to Sample collection procedures and equipment as possible for these Athletes.

B.3 Responsibility

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

B.4 Requirements

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

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

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

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

B.4.5 For Athletes with an intellectual disability, the ADO or DCO shall determine whether the Athlete must have a representative at the Sample Collection Session and the nature of the assistance that the representative must provide. Additional assistance can be provided by the representative or Sample Collection Personnel during the Sample Collection Session where authorised by the Athlete and agreed to by the DCO.
B.4.6 The DCO can decide that alternative Sample Collection Equipment or facilities will be used when required to enable the Athlete to provide the Sample as long as the Sample's identity, security and integrity will not be affected.

B.4.7 Athletes who are using urine collection or drainage systems are required to eliminate existing urine from such systems before providing a urine Sample for analysis.

B.4.8 The DCO will record modifications made to the standard Sample collection procedures for Athletes with disabilities, including any applicable modifications specified in the above actions.
Annex C - 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 recognised standard precautions in healthcare settings so that the health and safety of the Athlete and Sample Collection Personnel are not compromised;

b) The Sample is of a quality and quantity that meets laboratory guidelines;

c) The Sample is clearly and accurately identified; and

d) The Sample is securely sealed.

C.2 Scope

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

C.3 Responsibility

The DCO has the responsibility for ensuring that each Sample is properly collected, identified and sealed. The DCO/Chaperone has the responsibility for directly witnessing the passing of the urine Sample.

C.4 Requirements

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

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

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

C.4.4 When the Athlete selects a collection vessel and for selection of all other Sample Collection Equipment that directly holds the urine Sample, the DCO will instruct the Athlete to check that all seals on the selected equipment are intact and the equipment has not been tampered with. If the Athlete is not satisfied with the selected equipment, he/she may select another. If the Athlete is not satisfied with any of the equipment available for the selection, this shall be recorded by the DCO.
If the DCO does not agree with the Athlete’s opinion that all of the equipment available for the selection is unsatisfactory, the DCO shall instruct the Athlete to proceed with the Sample Collection Session. If the DCO agrees with the reasons put forward by the Athlete that all of the equipment available for the selection is unsatisfactory, the DCO shall terminate the collection of the Athlete’s urine Sample and this shall be recorded by the DCO.

C.4.5 The Athlete shall retain control of the collection vessel and any Sample provided until the Sample is sealed, unless assistance is required by an Athlete’s disability as provided for in Annex B – Modifications for Athletes with disabilities.

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

C.4.7 The DCO/Chaperone and Athlete shall proceed to an area of privacy to collect a Sample.

C.4.8 The DCO/Chaperone shall witness the Sample leaving the Athlete’s body and record the witnessing in writing.

C.4.9 The DCO shall use the relevant laboratory’s specifications to verify, in full view of the Athlete, that the volume of the urine Sample satisfies the laboratory’s requirements for analysis.

C.4.10 Where the volume of urine is insufficient, the DCO shall conduct a partial Sample collection procedure as prescribed in Annex E – Urine Samples – insufficient volume.

C.4.11 The DCO shall instruct the Athlete to select a Sample collection kit containing A and B bottles in accordance with C.4.4.

C.4.12 Once a Sample collection kit has been selected, the DCO and the Athlete shall check that all code numbers match and that this code number is recorded accurately by the DCO.

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

C.4.13 The Athlete shall pour the relevant laboratory’s prescribed minimum volume of urine into the B bottle, and then fill the A bottle as much as possible. The Athlete shall then fill the B bottle as much as possible with the remaining urine. The Athlete shall ensure that a small amount of urine is left in the collection vessel.

C.4.14 The Athlete shall seal the bottles as directed by the DCO. The DCO shall check, in full view of the Athlete, that the bottles have been properly sealed.

C.4.15 The DCO shall use the relevant laboratory’s guidelines for pH and specific gravity to test the residual urine in the collection vessel to determine if the Sample is likely to meet the laboratory guidelines. If it is
not, then the DCO shall follow Annex F - Urine Samples - Samples that do not meet laboratory pH and specific gravity guidelines.

**C.4.16** The DCO shall ensure any residual urine that will not be sent for analysis is discarded in full view of the *Athlete.*
Annex D - Collection of blood Samples

D.1 Objective

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

a) The health and safety of the Athlete and Sample Collection Personnel are not compromised;

b) The Sample is of a quality and quantity that meets the relevant analytical guidelines;

c) The Sample is clearly and accurately identified; and

d) The Sample is securely sealed.

D.2 Scope

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

D.3 Responsibility

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

a) Each Sample is properly collected, identified and sealed; and

b) All Samples have been properly stored and dispatched in accordance with the relevant analytical guidelines.

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

D.4 Requirements

D.4.1 Procedures involving blood shall be consistent with relevant principles of internationally recognised standard precautions in health care settings.

D.4.2 Blood Sample Collection Equipment shall consist of, either an A sample tube, or an A sample tube and a B sample tube. If the sample collection consists solely of blood then a B sample shall be collected and used as a confirmation if required.

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

D.4.4 The DCO/Chaperone and Athlete shall proceed to the area where the Sample will be provided.
D.4.5 The DCO shall ensure the Athlete is offered comfortable conditions including being in a relaxed position for at least 10 minutes prior to providing a Sample.

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

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

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

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

If the Athlete or DCO finds that the numbers are not the same, the DCO shall instruct the Athlete to choose another kit in accordance with D.4.5. The DCO shall record the matter.

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

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

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

D.4.11 The Blood Collection Official shall apply a dressing to the puncture site/s.

D.4.12 The Blood Collection Official shall dispose of used blood sampling equipment not required for completing the Sample Collection Session.

D.4.13 The Athlete shall seal his/her Sample into the Sample collection kit as directed by the DCO. In full view of the Athlete, the DCO shall check that the sealing is satisfactory.
D.4.14 The sealed Sample shall be kept at a cool, but not freezing, temperature prior to analysis at the Doping Control Station or dispatch for analysis at the WADA accredited laboratory or as otherwise approved by WADA.
Annex E - Urine *Samples* - Insufficient volume

**E.1 Objective**

To ensure that where an insufficient volume of urine is provided, appropriate procedures are followed.

**E.2 Scope**

The procedure begins with informing the *Athlete* that the *Sample* is of insufficient volume and ends with the 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 relevant laboratory’s volume requirements.

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

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

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

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

**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** When the *DCO* is satisfied that a sufficient volume of urine has been provided, the *DCO* and *Athlete* shall check the integrity of the seal/s on the partial *Sample* container/s containing the previously provided insufficient *Sample/s*. Any irregularity with the integrity of the seal/s will
be recorded by the DCO and investigated according to Annex A –
Investigating a possible failure to comply.

**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 sequentially to the first Sample collected until the required volume is met.

**E.4.9** The DCO and Athlete shall then continue with C.4.11.
Annex F - Urine Samples - Samples that do not meet laboratory pH or specific gravity guidelines

F.1 Objective

To ensure that when the urine Sample does not meet the contracted laboratory pH or specific gravity guidelines, 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 laboratory pH and specific gravity guidelines or appropriate follow-up action by the ADO if required.

F.3 Responsibility

The ADO is responsible for establishing criteria for the number of additional Samples to be collected at the Athlete’s Sample Collection Session. If the additional Sample/s collected do not meet the relevant laboratory’s guidelines for analysis, the ADO is responsible for scheduling a new Sample Collection Session for the Athlete and, if required, taking subsequent appropriate action.

The DCO is responsible for collecting additional Sample/s in accordance with the ADO’s criteria.

F.4 Requirements

F.4.1 The ADO shall establish criteria for the number of additional Samples to be collected by the DCO when the DCO determines that an Athlete’s Sample is unlikely to meet the relevant laboratory’s pH or specific gravity guidelines.

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

F.4.3 While waiting to provide an additional Sample, the Athlete shall remain under continuous observation.

F.4.4 When the Athlete is able to provide an additional Sample, the DCO shall repeat the procedures for collection of the Sample as prescribed in Annex C – Collection of urine Sample and in accordance with the ADO’s criteria for the number of additional Samples to be collected as established in F.4.1.

F.4.5 The DCO shall record that the Samples collected belong to a single Athlete and the order in which the Samples were provided.

F.4.6 The DCO shall then continue with C.4.16.
F.4.7 If it is determined by the relevant laboratory that all of the Athlete’s Samples do not meet the laboratory’s pH and specific gravity requirements for analysis and this is not related to natural causes, the ADO shall schedule another Sample Collection Session for the Athlete as Target Testing as soon as possible.

F.4.8 If the Target Testing Sample Collection Session also results in Samples that do not meet the laboratory’s pH and/or specific gravity requirements for analysis, the ADO shall investigate a possible anti-doping rule violation.
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 ADO has the responsibility for all activities defined in this Annex G.

G.4 Requirements - Qualifications and Training
G.4.1 The ADO shall determine the necessary competence and qualification requirements for the positions of Doping Control Officer, Chaperone and Blood Collection Official. The ADO shall develop duty statements for all Sample Collection Personnel that outline their respective responsibilities. As a minimum:
   a) Sample Collection Personnel shall be of adult age.
   b) Blood Collection Officials shall have adequate qualifications and practical skills required to perform blood collection from a vein.

G.4.2 The ADO shall ensure that Sample Collection Personnel that have an interest in the outcome of the collection or testing of a Sample from any Athlete who might provide a Sample at a session are not appointed to that Sample collection session. Sample Collection Personnel are deemed to have an interest in the collection of a Sample if they are:
   a) Involved in the planning of the sport for which testing is being conducted; or
   b) Related to, or involved in the personal affairs of any Athlete who might provide a Sample at that session.

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

G.4.4 The training program for Chaperones and Blood Collection Officials as a minimum shall include studies of all relevant requirements of the testing process and familiarization of relevant standard precautions in healthcare settings.
G.4.5 The training program for Doping Control Officers as a minimum shall include:
   a) Comprehensive theoretical training in different types of testing activities relevant to the Doping Control Officer position;
   b) One observation of all doping control activities related to requirements in this standard, preferably on site;
   c) The satisfactory performance of one complete Sample collection on site under observation by a qualified Doping Control Officer or similar. The requirement related to actual passing of Sample shall not be included in the on site observations.

G.4.6 The ADO shall maintain records of education, training, skills and experience.

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

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

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

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

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

G.5.5 Doping Control Officers may personally perform any activities involved in the Sample Collection Session, with the exception of blood collection unless particularly qualified, or they may direct a Chaperone to perform specified activities that fall within the scope of the Chaperone’s authorised duties.