



# IAAF Anti-Doping Regulations

2018 Edition

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## DEFINITIONS

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

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

Adverse Analytical Finding: a report from a WADA-accredited laboratory or other WADA-approved entity that, consistent with the International Standard for Laboratories and related Technical Documents, identifies in a Sample the presence of a Prohibited Substance or its Metabolites or Markers (including elevated quantities of endogenous substances) or evidence of the Use of a Prohibited Method.

Adverse Passport Finding: a report from an Athlete Passport Management Unit that is the end result of the evaluation of the longitudinal profile of Markers, other Passport information (such as training and competition schedules) and Expert review that is inconsistent with a normal physiological condition or known pathology and compatible with the Use of a Prohibited Substance or a Prohibited Method.

Anti-Doping Organisation (ADO): a signatory to the Code 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, other Major Event Organisations that conduct Testing at their Competitions, WADA, International Federations and National Anti-Doping Organisations.

Anti-Doping Rules (ADR): the IAAF Anti-Doping Rules as may be passed by the IAAF Council from time to time.

Area Association: an area association of the IAAF responsible for fostering Athletics in one of the six areas into which the members are divided in the IAAF Constitution.

Athlete: any Person who participates in the IAAF, its Members and Area Associations by virtue of his agreement, membership, affiliation, authorisation, accreditation or participation in their activities or competitions and any other competitor in Athletics who is otherwise subject to the jurisdiction of any signatory to the Code or other sports organisation accepting the Code.

Athlete Biological Passport (ABP): the programme and methods of gathering and collating Passports as described in these Anti-Doping Regulations and the Appendices.

Athlete Biological Passport Documentation Package: the material produced by the Laboratory or WADA-approved Laboratory for the ABP and Athlete Passport Management Unit to support an Adverse Passport Finding such as, but not limited to, analytical data, Expert Panel comments, evidence of confounding factors as well as other relevant supporting information.

Athlete Passport Management Unit: a unit composed of a Person or Persons designated by the IAAF to be responsible for the administrative management of Passports, advising the IAAF on intelligent Targeted Testing, liaising with the Expert Panel, compiling and authorising an Athlete Biological Passport Documentation Package and reporting Adverse Passport Findings.

APMU Report: a report maintained by the Athlete Passport Management Unit, available in the Athlete's Passport in ADAMS, that provides a comprehensive summary of the Expert(s) reviews and recommendations for effective and appropriate follow-up Testing by the Passport Custodian.

**Athlete Support Personnel:** any coach, trainer, manager, authorised athlete representative, agent, team staff, official, medical or para-medical personnel or any other person working with, treating or assisting an Athlete participating in, or preparing for, Competition in Athletics.

**Atypical Passport Finding (ATPF):** a report generated by the Adaptive Model which identifies either a single Marker value or a longitudinal profile of Marker values as being outside the Athlete's intra-individual range assuming a normal physiological condition. An Atypical Passport Finding requires further investigation and/or analysis in accordance with these Anti-Doping Regulations.

**Blood Collection Official (BCO):** an official who is qualified and has been authorised by the Sample Collection Authority to carry out the responsibilities given to BCOs in these Anti-Doping Regulations, notably to collect blood Samples from Athletes.

**Chain of Custody:** the sequence of individuals or organisations who have responsibility for the custody of a Sample/Specimen from the provision of the Sample/Specimen until the Sample/Specimen has been delivered to the laboratory for analysis.

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

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

**Competition:** an Event or series of Events held over one or more days (e.g., the World Championships, the World Athletics Final or an individual Golden League meeting).

**Consequences:** the consequences of an Athlete or other Person's Anti-Doping Rule Violation as defined in the Anti-Doping Rules.

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

**Doping Control Officer (DCO):** an official who has been trained and authorised by the Sample Collection Authority to carry out the responsibilities given to DCOs in these Anti-Doping Regulations.

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

**Expert:** The Expert(s), and/or Expert panel, with knowledge in the concerned field, chosen by the IAAF and/or the Athlete Passport Management Unit, who are responsible for providing an evaluation of Passports in accordance with Chapter 8 of the Anti-Doping Regulations. The Expert must be external to the IAAF. For the Haematological Module, Experts should have knowledge in one or more of the fields of clinical haematology (diagnosis of blood pathological conditions), sports medicine and/or exercise physiology. For the Steroidal Module, the Experts should have knowledge in Laboratory analysis, steroid doping and/or endocrinology. For both modules, an Expert panel should consist of Experts with complementary knowledge such that all relevant fields are represented. The Expert panel may include a pool of at least three appointed Experts and any additional ad hoc Expert(s) who may be required upon request of the appointed Experts or by the Athlete Passport Management Unit of the IAAF.

**Event:** a single race or contest in a Competition (e.g. the 100 metres or the Javelin Throw), including any qualifying rounds thereof.

Failure to Comply: a term used to describe Anti-Doping Rule Violations under Articles 2.3 and/or Article 2.5.

Filing Failure: a failure by an Athlete (or by a third party to whom the Athlete has delegated such a task in accordance with paragraph 3.7 of Appendix A) to make an accurate and complete Whereabouts Filing that enables the Athlete to be located for Testing at the times and locations set out in the Whereabouts Filing or to update that Whereabouts Filing where necessary to ensure that it remains accurate and complete, all in accordance with these Anti-Doping Regulations.

IAAF TUE Sub-Commission (IAAF TUESC): means the body established by the IAAF to consider whether applications for the grant or recognition of a TUE under these Anti-Doping Regulations meet all relevant criteria.

In-Competition: means the period commencing twelve (12) hours before an Event in which the Athlete is scheduled to participate through to the end of such Event and the Sample Collection process related to such Event.

Independent Observer Programme: a team of observers, under the supervision of WADA, who observe and provide guidance on Doping Control process at certain Competitions and report on their observations.

Ineligibility: as set out in the Consequences of Anti-Doping Rule Violations definition in the Anti-Doping Rules.

International Competition: the international competitions under Article 5.5.1 as published annually on the IAAF website.

International-Level Athlete: an Athlete as defined in Article 1.9 (see IAAF and Athletics Integrity Unit websites for a definitive list of such International Competitions).

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

Laboratory or Laboratories: WADA-accredited Laboratories or laboratories otherwise approved by WADA applying test methods and processes to provide evidentiary data for the detection of Prohibited Substances, Methods or Markers on the Prohibited List and, if applicable, quantification of a Threshold Substance in urine and other biological Samples in the context of anti-doping activities. The term Laboratory shall, where applicable, also include WADA-approved Laboratories for the ABP.

Major Event Organisation: the continental associations of National Olympic Committees and other international multi-sport organisations that function as the ruling body for any continental, regional or other international competition.

Member: a national governing body for Athletics affiliated to the IAAF.

Minor: a natural person who has not reached the age of eighteen years.

Missed Test: a failure by the Athlete to be available for Testing at the location and time specified in the 60-minute time slot identified in his Whereabouts Filing for the day in question in accordance with these Anti-Doping Regulations.

National Anti-Doping Organisation: the entity designated by each Country or Territory 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 at national level. If this designation has not been made by the competent public authority, the entity shall be the Country or Territory's National Olympic Committee or its designee.

National Federation: the Member of the IAAF to which an Athlete or other Person is affiliated directly or through a club or another body affiliated to a Member.

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

Out-of-Competition: any period which is not In-Competition.

Passport: a collation of all relevant data unique to an individual Athlete that may include longitudinal profiles of Markers, heterogeneous factors unique to that particular Athlete and other relevant information that may help in the evaluation of Markers.

Passport Custodian: the IAAF as the organisation responsible for the results management of an Athlete's Passport and for sharing any relevant information associated to that Athlete's Passport with other Anti-Doping Organisation(s).

Participant: any Athlete or Athlete Support Personnel.

Person: any natural Person (including any Athlete or Athlete Support Personnel) or an organisation or other entity.

Personal Information: information, including without limitation Sensitive Personal Information, relating to an identified or identifiable Participant or relating to other Persons whose information is processed solely in the context of the IAAF's, Member's or an Anti-Doping Organisation's anti-doping activities.

Possession: The actual, physical Possession or the constructive Possession of a Prohibited Substance or Prohibited Method (which shall be found only if the Person has exclusive control or intends to exercise 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 never intended to have Possession and has renounced Possession by explicitly declaring it to the IAAF, a Member or an Anti-Doping Organisation. Notwithstanding anything to the contrary in this definition, the purchase (including by any electronic or other means) of a Prohibited Substance or Prohibited Method constitutes Possession by the Person who makes the purchase.

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

Prohibited List: the Prohibited List published by WADA identifying the Prohibited Substances and Prohibited Methods.

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

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

Random Selection: selection of Athletes for Testing which is not Target Testing.

**Registered Testing Pool:** The pool of highest priority Athletes, established separately by (i) the IAAF at the international level and (ii) by National Anti-Doping Organisations at the national level, who are subject to focussed In-Competition and Out-of-Competition Testing as part of the IAAF's or National Anti-Doping Organisation's respective test distribution plans and are required to provide whereabouts information for that purpose. The IAAF shall publish a list which identifies the Athletes included in its Registered Testing Pool.

**Results Management Authority:** the organisation that is responsible under Rules for the management of the results of Testing (or other evidence of a potential Anti-Doping Rule Violation) and hearings. In respect of Whereabouts Failures, the Results Management Authority shall be as set out in Chapter 8 of these Anti-Doping Regulations.

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

**Sample Collection Authority:** The organisation that is responsible for the collection of Samples in compliance with these Anti-Doping Regulations whether (i) the IAAF (or other Testing Authority) itself; or (ii) another organisation (for example, a third party contractor) to which the IAAF (or other Testing Authority) has delegated or sub-contracted such responsibility.

**Sample Collection Equipment:** Containers or apparatus used to collect or hold the Sample at any time during the Sample Collection session. Sample Collection Equipment shall be as specified in these Anti-Doping Regulations and, at a minimum, shall consist of:

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

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

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

**Sensitive Personal Information:** Personal Information relating to a Participant's racial or ethnic origin, commission of offences (criminal or otherwise), health (including information derived from analysing an Athlete's Sample or Specimens) and genetic information.

**Substantial Assistance:** For the purposes of Article 10.6.1(a), a Person providing Substantial Assistance must (i) fully disclose in a signed written statement all information he possesses in relation to Anti-Doping Rule Violations, including those involving himself and (ii) fully co-operate with the investigation and adjudication of any case related to that information, including, for example, presenting testimony at a hearing if requested to do so by the prosecuting authority or hearing panel. Further, the information provided must be credible and must comprise an important part of any case which is

initiated or, if no case is initiated, must have provided a sufficient basis on which a case could have been brought.

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

Suitable Volume of Urine for Analysis: a minimum of 90ml, whether the Laboratory will be analysing the Sample for all or only some Prohibited Substances or Prohibited Methods.

Target Testing: the selection of specific Athletes for Testing based on criteria set out in the International Standard for Testing and Investigations and/or these Anti-Doping Regulations.

Team Activity: Sporting activities carried out by Athletes on a collective basis as part of a national team (e.g., training, travelling or technical sessions in conjunction with preparing for or participating in a World Championships) or under the supervision of a national team (e.g., treatment by a national team doctor).

Test Distribution Plan: a document prepared by the IAAF that plans for the Testing of Athletes over whom it has Testing Authority, in accordance with the requirements of Chapter 2 of these Anti-Doping Regulations.

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

Testing Authority: the organisation that has authorised a particular Sample collection, whether it be (i) the IAAF (ii) an Area Association (iii) a Member (iv) an Anti-Doping Organisation (for example, the International Olympic Committee or other Major Event Organisation, WADA or a National Anti-Doping Organisation) or (v) another organisation with authority conducting Testing in accordance with these Anti-Doping Regulations. The IAAF shall be the Testing Authority for all Testing conducted at International Competitions under Article 5.5.1.

Therapeutic: of or relating to the treatment of a medical condition by remedial agents or methods; or providing or assisting in a cure.

TUE: Therapeutic Use Exemption approved by a TUE body under these Anti-Doping Regulations based on a documented medical file and obtained before Use or Possession of a substance or method that would otherwise be prohibited by the Prohibited List.

Therapeutic Use Exemption Committee (TUEC): the panel established by the IAAF or a Member to consider applications for TUEs made in accordance with these Anti-Doping Regulations, including the IAAF TUESC established by the IAAF to consider applications for TUEs made by International-Level Athletes.

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

Unsuccessful Attempt Report: a detailed report of an unsuccessful attempt to collect a Sample from an Athlete in a Registered Testing Pool, setting out the date of the attempt, the location(s) visited, the exact arrival and departure time at the location(s), the steps taken at the location(s) to try to find the Athlete (including details of any contact made with third parties) and any other relevant details about the attempt.

WADA-approved Laboratory for the ABP: Laboratory(ies) not otherwise accredited by WADA applying test methods and processes in support of an Athlete Biological Passport programme and in

accordance with the criteria for approval of non-accredited laboratories for the Athlete Biological Passport.

WADA TUEC: the panel established by WADA to review the TUE decisions of other Anti-Doping Organisations.

Whereabouts Failure: a Filing Failure or a Missed Test.

Whereabouts Filing: Information provided by or on behalf of an Athlete in the Registered Testing Pool (or by or on behalf of an Athlete in a registered testing pool of any Member or Anti-Doping Organisation with jurisdiction over the Athlete) that sets out the Athlete's whereabouts during the following quarter in accordance with these Anti-Doping Regulations.

## 1. INTRODUCTION

- 1.1 In accordance with Article 16.1 of the IAAF Constitution, the IAAF has established an Athletics Integrity Unit ("Integrity Unit") with effect from 3 April 2017 whose role is to protect the integrity of Athletics, including fulfilling the IAAF's obligations as a Signatory to the Code. The IAAF has delegated implementation of the Anti-Doping Rules and these Anti-Doping Regulations to the Integrity Unit, including but not limited to the following activities in respect of International-Level Athletes and Athlete Support Personnel: Testing, Investigations, Results Management, Hearings, Sanctions and Appeals. The references in these Anti-Doping Regulations to the IAAF shall, where applicable, be references to the Athletics Integrity Unit (or to the relevant person, body or functional area within the Unit).
- 1.2 All Athletes, Athlete Support Personnel and other Persons should acquaint themselves fully with the Anti-Doping Rules and with these Anti-Doping Regulations. Both the Anti-Doping Rules and these Anti-Doping Regulations are available for viewing on the IAAF and the Athletics Integrity Unit websites.
- 1.3 In accordance with Article 5.2.1 of the ADR, any Athlete who has not retired, including any Athlete serving a period of Ineligibility, may be required to provide a Sample at any time and place by the IAAF, a Member, an Area Association or any Anti-Doping Organisation with Testing authority over him.
- 1.4 The IAAF and WADA have In-Competition and Out-of-Competition Testing authority over all Athletes who are subject to the Anti-Doping Rules, including those who participate in International Competitions or in competitions governed by Rules or who are members or licensees of its Members or their members.
- 1.5 The IAAF may delegate Testing authority to any Member, other Member, WADA, governmental agency, National Anti-Doping Organisation or other third party which it deems to be suitably qualified for such purpose. References in these Anti-Doping Regulations to the IAAF shall where applicable include references to any third party to which the IAAF has delegated its Testing authority.
- 1.6 The Anti-Doping Rules and these Anti-Doping Regulations shall apply to all Doping Controls and related activity in respect of which the IAAF and respectively its Members and Area Associations have Testing authority or other competent jurisdiction.
- 1.7 It is the responsibility of each Member and Area Association to ensure that all Testing and related activity complies with these Anti-Doping Regulations. It is recognised that, in some Countries or Territories, the Member will conduct the Testing or related activity itself whilst, in some others, some or all of the Member's responsibilities may be delegated or assigned (either by the Member itself or under applicable national legislation or regulation) to a National Anti-Doping Organisation or other third party. In respect of such Countries or Territories, reference in these Anti-Doping Regulations to the Member or National Federation (or its relevant officers) shall, where applicable, be a reference to the National Anti-Doping Organisation or other third party (or its relevant officers).
- 1.8 Under Article 2 of the ADR, an Anti-Doping Rule Violation is committed when a Prohibited Substance or its Metabolites or Markers is present in an Athlete's Sample. In accordance with Article 6 of the ADR, Samples collected in accordance with these Anti-Doping Regulations shall be analysed to detect Prohibited Substances and Prohibited Methods on the Prohibited List (and such other substances as may be directed by WADA pursuant to its monitoring programme) and/or to assist in profiling relevant parameters in an Athlete's urine, blood or other matrix,

including DNA or genomic profiling, or for any other legitimate anti-doping purpose. Relevant profile information may be used either to direct Target Testing or to support an Anti-Doping Rule Violation under the Anti-Doping Rules, or both.

- 1.9 When performing obligations under these Anti-Doping Regulations, the IAAF may process Personal Information relating to Athletes or other Persons. The IAAF shall ensure that it complies with applicable data protection and privacy laws with respect to the handling of such information in accordance with the International Standard for the Protection of Privacy and Personal Information.
- 1.10 These Anti-Doping Regulations must be followed as far as is reasonably practicable. In accordance with Article 3.2.4 of the ADR, departures from these Anti-Doping Regulations which did not cause an Adverse Analytical Finding or the factual basis for another Anti-Doping Rule Violation shall not invalidate such evidence or results.
- 1.11 This Introduction, the Definitions and the Appendices shall all form an integral part of these Anti-Doping Regulations.
- 1.12 References in these Anti-Doping Regulations to 'Rules' shall be the corresponding references to the IAAF Anti-Doping Rules (as may be amended from time to time) and references to 'Articles' in these Anti-Doping Regulations shall be to the Articles in those Anti-Doping Rules.
- 1.13 Where appropriate, all references to the masculine gender in these Anti-Doping Regulations shall include references to the feminine and all references to the singular shall include references to the plural.
- 1.14 These Anti-Doping Regulations have been approved by the IAAF Council. They shall be effective as from 1 January 2018 i.e., in relation to all Samples collected, or any Anti-Doping Rule Violation committed, on or after that date.

## 2. PLANNING EFFECTIVE TESTING

- 2.1 The IAAF shall develop a Test Distribution Plan that plans and implements intelligent Testing proportionate to the risk of doping among Athletes under its jurisdiction and that is effective to detect and to deter such practices.
- 2.2 The Test Distribution Plan shall be prepared by the Athletics Integrity Unit. It shall include establishing the overall pool of Athletes to be Tested within the IAAF programme and an assessment of which Prohibited Substances and Prohibited Methods are most likely to be abused in different disciplines of the sport, followed by an appropriate prioritisation between disciplines, categories of Athletes, types of Testing, types of Samples collected and types of Sample analysis.
- 2.3 The Test Distribution Plan shall be approved and reviewed by the Athletics Integrity Unit.

### Risk assessment

- 2.4 The starting point of the Test Distribution Plan shall be a considered assessment in good faith of which Prohibited Substances and/or Prohibited Methods are most likely to be abused in Athletics. The assessment shall take into account at a minimum the following information:
  - (a) the physical and other demands of the sport and/or disciplines within the sport, considering in particular the physiological requirements of the sport/disciplines;
  - (b) the possible performance-enhancing effects that doping may elicit in such sport/disciplines;
  - (c) the rewards available at different levels of the sport/disciplines and/or other potential incentives for doping;
  - (d) the history of doping in the sport/disciplines;
  - (e) available research on doping trends (e.g., peer-reviewed articles);
  - (f) information received/intelligence developed on possible doping practices in the sport/disciplines (e.g., Athlete testimony, information from criminal investigations and/or other intelligence developed in accordance with WADA's Guidelines for Coordinating Investigations and Sharing Anti-Doping Information and Evidence) in accordance with section 6 of these Anti-Doping Regulations;
  - (g) the outcome of previous test distribution planning cycles.
- 2.5 In developing its Test Distribution Plan, the IAAF shall be bound by the current version of WADA's Technical Document for Sport Specific Analysis but shall additionally conduct its own risk assessment. The IAAF may also take into account in good faith any risk assessment that might have been conducted for the sport, or any discipline within it, by another ADO with overlapping Testing Authority. However, the IAAF is not bound by a third party's assessment of the risks of doping in Athletics or any particular discipline and other ADOs are similarly not bound by the IAAF's assessment of the risks of doping in the sport or any particular discipline in it.
- 2.6 The IAAF shall also consider potential doping patterns in the sport as a whole, both within specific Countries or Territories competing in the sport and within specific disciplines. This shall include assessing matters such as:
  - (a) which Prohibited Substances and/or Prohibited Methods an Athlete would consider most likely to enhance performance in a particular discipline;
  - (b) at what points in an Athlete's career in the sport an Athlete would be most likely to consider obtaining such an illicit advantage; and

- (c) given the structure of the season for the sport/discipline (including standard Competition schedules and training patterns) at what time(s) during the year an Athlete would be most likely to undergo doping practices.
- 2.7 The IAAF shall base all remaining steps in developing its Test Distribution Plan on the risk assessment referred to above. In doing so, it shall make a proper assessment of the relevant risks and adopt an appropriate Test Distribution Plan based on the results of that assessment.
- 2.8 Test Distribution Planning is intended to be an on-going process, not a static one. The IAAF shall keep its Test Distribution Plan under regular review and shall adapt it as necessary to reflect new information gathered and intelligence developed and to take into account Testing conducted by other ADOs.
- 2.9 The IAAF shall ensure that Athlete Support Personnel and any other Persons with a conflict (or potential conflict) of interest are not involved in Test Distribution Planning for their Athletes.

#### Establishing the IAAF's Registered Testing Pool

- 2.10 Having completed a risk assessment as described above, the IAAF shall establish a Registered Testing Pool of Athletes who shall be subject to Testing by the IAAF.
- 2.11 The IAAF shall focus its anti-doping programme predominantly on Athletes who compete regularly at international-level. In this regard, the IAAF shall consider Athletes for inclusion in its Registered Testing Pool based at a minimum upon the following criteria:
- (a) the top-performing Athletes according to the official IAAF Top Performance Lists in Athletics;
  - (b) Athletes who are serving periods of Ineligibility;
  - (c) Athletes who retired at a time when they were in the Registered Testing Pool and who wish to return from that period of retirement to active participation in the sport; and
  - (d) Athletes whom it wishes to target for Testing.

For the avoidance of doubt, the above criteria are not exhaustive and the IAAF may at its sole discretion include any Athlete in the Registered Testing Pool whom it considers to be appropriate. The IAAF's determination of the composition of the Registered Testing Pool shall be final and shall not be subject to challenge by any Athlete or other Person.

- 2.12 The Registered Testing Pool shall be published on the IAAF and Athletics Integrity Unit websites and shall be reviewed and updated on a regular basis. An Athlete who has been included in the Registered Testing Pool shall continue to be subject to the whereabouts requirements set out in these Anti-Doping Regulations unless and until:
- (a) he has been given written notice by the IAAF that he is no longer designated for inclusion in the Registered Testing Pool; or
  - (b) he no longer agrees to be subject to Out-of-Competition Testing on account of the fact that he has retired from competition or has chosen not to compete for any other reason and he has given written notice to the IAAF to that effect in accordance with Article 5.8.1.
- 2.13 National Federations (or National Anti-Doping Organisations operating in a National Federation's country) conducting their own Testing programmes should establish their own registered testing pools, the composition of which should reflect the National Federation's (or National Anti-Doping

Organisation's) responsibility to protect the integrity of the sport at the national level. The composition shall include at a minimum Athletes who are part of national teams at International Competitions and Athletes who often compete at international level but who are not classified by the IAAF as an International-Level Athlete. A copy of any registered testing pool established by a National Federation (or National Anti-Doping Organisation) shall be forwarded by the National Federation (or National Anti-Doping Organisation) to the IAAF. If an Athlete is included in both the IAAF's Registered Testing Pool and a registered testing pool established at national level, the Athlete shall be required to file his Whereabouts Filings with the IAAF which will then share the information with the Athlete's National Federation and/or National Anti-Doping Organisation.

#### Prioritising between Disciplines and Nations

- 2.14 The IAAF shall further consider whether there are any factors warranting allocating Testing resources to one discipline or nation under its jurisdiction in priority to others. This will involve assessing the relative risks of doping as between the different disciplines and nations as well as assessing the different capabilities for the effective Testing of Athletes at national level.
- 2.15 Another factor relevant to the allocation of Testing resources within the Test Distribution Plan will be the number of Athletes involved at the relevant level in the sport and/or disciplines and/or the nations in question. Where the risk of doping is assessed to be equal as between two different disciplines or nations, more resources should be devoted to the discipline or nation involving the larger number of Athletes.

#### Prioritising between Different Athletes

- 2.16 Once the Registered Testing Pool and the priority disciplines/nations have been established, an intelligent Test Distribution Plan shall use Target Testing to focus Testing resources where they are most needed within the overall pool of Athletes. Target Testing shall therefore be made a priority i.e., a significant amount of the Testing undertaken as part of the IAAF's Test Distribution Plan shall be Target Testing of Athletes within the Registered Testing Pool.
- 2.17 The IAAF shall consider Target Testing on the following categories of Athletes in particular:
- (a) who compete regularly at the highest level of International Competitions (especially from priority disciplines or nations), as determined by rankings or other suitable criteria;
  - (b) who are serving a period of Ineligibility or a Provisional Suspension; and
  - (c) who were high priority for Testing before they retired from the sport and who now wish to return from retirement to active participation in the sport.
- 2.18 Other factors relevant to determining who should be made the subject of Target Testing may include all or some of the following Athlete behaviours/factors indicating possible doping/increased risk of doping:
- (a) prior Anti-Doping Rule Violations/test history, including any abnormal biological parameters (blood parameters, steroid profiles etc);
  - (b) sport performance history, including in particular, sudden major improvements in performance and/or sustained high performance without a commensurate Testing record;
  - (c) repeated failure to comply with whereabouts requirements;
  - (d) suspicious Whereabouts Filing patterns (e.g., last-minute updates of Whereabouts Filings);

- (e) moving to or training in a remote location;
- (f) withdrawal or absence from expected Competition;
- (g) association with a third party (such as team-mate, coach or doctor) with a history of involvement in doping;
- (h) injury;
- (i) age/stage of career (e.g., move from junior to senior level, nearing the end of a contract, approaching retirement);
- (j) financial incentives for improved performance such as prize money or sponsorship opportunities; and/or
- (k) reliable information from a third party or intelligence developed by or shared with the IAAF in accordance with section 6 of these Anti-Doping Regulations.

2.19 Testing which is not Target Testing shall be determined by Random Selection. Random Selection may be either completely random (where no pre-determined criteria are considered and Athletes are chosen arbitrarily from a list or pool of Athlete names) or weighted (where Athletes are ranked using pre-determined criteria in order to increase or decrease the chances of selection). Random Selection that is weighted shall be conducted according to defined criteria and may take into account the factors listed in paragraph 2.18 above (as applicable) in order to ensure that a greater percentage of 'at risk' Athletes is selected.

2.20 For the avoidance of doubt, notwithstanding the development of criteria for selection of Athletes for Testing, and in particular for Target Testing of Athletes, as well as the fact that as a general rule Testing should take place between 5 a.m. and 11 p.m. unless valid grounds exist for Testing overnight, the fundamental principle remains (as set out in Article 5.2.1) that an Athlete may be required to provide a Sample at any time and at any place by the IAAF, Member, Area Association or Anti-Doping Organisation with Testing Authority over him, whether or not the selection of the Athlete for Testing is in accordance with such criteria. Accordingly, an Athlete may not refuse to submit to Sample collection on the basis that such Testing is not as provided for in the Test Distribution Plan and/or is not being conducted between 5 a.m. and 11 p.m., and/or that the Athlete does not meet the relevant selection criteria for Testing or otherwise should not have been selected for Testing.

#### Prioritising between Different Types of Testing

2.21 Based on the risk assessment and prioritisation process described above, the IAAF shall determine to what extent each of the following types of Testing is required in order to detect and deter doping practices within the relevant discipline(s) and/or nation(s) intelligently and effectively:

- (a) In-Competition and Out-of-Competition Testing;
  - (i) In disciplines that are assessed as having a high risk of doping during Out-of-Competition periods, Out-of-Competition Testing shall be made a priority and a significant portion of the available Testing shall be conducted Out-of-Competition. However, a material amount of In-competition Testing shall still take place.
  - (ii) In disciplines that are assessed as having a low risk of doping during Out-of-Competition periods (i.e., where it can be clearly shown that doping while Out-of-Competition is unlikely to enhance performance or provide other illicit

advantages), In-Competition Testing shall be made a priority and a substantial portion of the available Testing shall be conducted in-Competition. However, some Out-of-Competition Testing shall still take place proportionate to the risk of Out-of-Competition doping in such discipline. Very exceptionally, i.e., in the small number of disciplines where it is determined in good faith that there is no material risk of doping during Out-of-Competition periods, there may be no Out-of-Competition Testing.

- (b) Testing of urine;
- (c) Testing of blood; and
- (d) Testing involving longitudinal profiling i.e. the Athlete Biological Passport programme.

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

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

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

#### Sample analysis

2.24 In accordance with Article 6.4, Laboratories shall analyse Samples collected by the IAAF in conformity with the International Standard for Laboratories and Technical Documents. The IAAF may in addition ask Laboratories to analyse the Samples it has collected in a manner that is tailored to the particular circumstances of the discipline/nation in question, including, in accordance with Article 6.4, using more extensive menus than those described in the Technical Document for Sport Specific Analysis.

2.25 The IAAF shall further incorporate into its Test Distribution Plan a strategy for the retention of Samples and the necessary documentation relating to the collection of such Samples so as to enable an assessment to be made as regards the further analysis of such Samples at a later date in accordance with Article 6.5. Such a strategy shall comply with the requirements of the International Standard for Laboratories and the International Standard for the Protection of Privacy and Personal Information, and shall take into account the purposes of analysis of Samples set out in Article 6.5, as well as (without limitation) the following elements:

- (a) Laboratory recommendations;
- (b) the possible need for retroactive analysis in connection with the Athlete Biological Passport programme;
- (c) new detection methods to be introduced in the near future relevant to the Athlete, sport and/or discipline; and/or
- (d) Samples collected from Athletes meeting some or all of the 'high risk' criteria set out at above.

### Collecting Whereabouts Information

- 2.26 Athletes included in a Registered Testing Pool shall be required to provide whereabouts information in accordance with the Whereabouts Requirements of Appendix A.
- 2.27 The IAAF and other Anti-Doping Organisations with Testing Authority over an Athlete in a Registered Testing Pool should conduct Out-of-Competition Testing on that Athlete using the whereabouts information provided by the Athlete in accordance with the Whereabouts Requirements. Any such Athlete who fails three times in any 12-month period to provide the required information about his whereabouts (a Filing Failure) and/or to be available for Testing at such whereabouts (a Missed Test) shall be liable for an Anti-Doping Rule Violation under Article 2.4 .
- 2.28 Where ADAMS is used to collect whereabouts information from Athletes in the Registered Testing Pool, then the names of those Athletes will automatically be available to WADA and other relevant Anti-Doping Organisations pursuant to Article 5.7.4. Otherwise, however, to comply with Article 5.7.4, the IAAF shall make a list of the Athletes included in its Registered Testing Pool available in writing to WADA and other Anti-Doping Organisations who have Testing Authority over those Athletes.
- 2.29 The IAAF shall regularly review and update as necessary its criteria for including Athletes in its Registered Testing Pool, to ensure that they remain fit for purpose, i.e., they are capturing all appropriate Athletes. It should take into account the Competition calendar for the relevant period. For example, it may be appropriate to change or increase the number of Athletes in the Registered Testing Pool in the lead-up to an Olympic Games or a World Championships.
- 2.30 In addition, the IAAF shall periodically (but no less than quarterly) review the list of Athletes in its Registered Testing Pool to ensure that each listed Athlete continues to meet the relevant criteria. Athletes who no longer meet the criteria should be removed from the Registered Testing Pool and Athletes who now meet the criteria should be added to the Registered Testing Pool. The IAAF shall advise such Athletes of the change in their status, and make a new list of Athletes in the Registered Testing Pool available in accordance with paragraph 2.28 without delay.
- 2.31 For periods when Athletes come under the Testing Authority of a Major Event Organisation:
- (a) if they are in a Registered Testing Pool, then the Major Event Organisation may access their Whereabouts Filings for the relevant period in order to conduct Testing on them;
  - (b) if they are not in a Registered Testing Pool, then the Major Event Organisation may adopt Event-specific rules requiring them to provide such information about their whereabouts for the relevant period as it deems necessary and proportionate in order to conduct Testing on them.

### Co-ordinating with other Anti-Doping Organisations

- 2.32 The IAAF shall coordinate its Testing efforts wherever possible with the efforts of other Anti-Doping Organisations with overlapping Testing Authority, in order to maximise the effectiveness of those combined efforts and to avoid unnecessarily repetitive Testing of particular Athletes. In particular:
- (a) The IAAF shall consult with other relevant Anti-Doping Organisations (and vice versa) in order to coordinate Testing activities and to avoid duplication. Clear agreement on roles and responsibilities for Event Testing shall be agreed in advance in accordance

with the provisions of Article 5.5.2. Where such agreement is not possible, WADA will resolve the matter.

- (b) The IAAF shall, without any unnecessary delay, share information on their completed Testing with other relevant Anti-Doping Organisations (and vice versa), via ADAMS or any other system approved by WADA.
- 2.33 The IAAF may contract other Anti-Doping Organisations or third parties to act as Sample Collection Authorities on their behalf. In the terms of the contract, the IAAF may specify how any discretion afforded to a Sample Collection Authority under these Anti-Doping Regulations is to be exercised by the Sample Collection Authority when collecting Samples on its behalf.
- 2.34 The IAAF shall do all it can to ensure that it and other Anti-Doping Organisations consult and coordinate with each other, with WADA, and with law enforcement and other relevant authorities, in obtaining, developing and sharing information and intelligence that can be useful in informing Test Distribution Planning, in accordance with Chapter 5 of these Anti-Doping Regulations.

### 3. PREPARING FOR SAMPLE COLLECTION SESSION

- 3.1 The IAAF, or otherwise the Sample Collection Authority to which the IAAF has delegated the task, shall be responsible for ensuring that the Sample Collection Session can be conducted effectively in accordance with these Anti-Doping Regulations. This includes identifying special requirements to meet the needs of Minors where relevant.

#### Doping Control Station

- 3.2 The IAAF, or otherwise the Sample Collection Authority, shall use a Doping Control Station which at a minimum ensures the Athlete's privacy when providing a Sample and, where possible, is used solely as a Doping Control Station for the duration of the Sample Collection Session. The DCO/other responsible person should record any significant deviations from these criteria.
- 3.3 A room or facility equipped for blood Sampling may be set up at the Doping Control Station and/or at any other site at which the Athlete might be located for Testing (hotel, medical centre, training centre, competition venue etc.). The room to be used for blood Sampling should normally be separate from any room used for the collection of urine Samples and should be designed so as to maintain an Athlete's privacy at all times.
- 3.4 For Out-of-Competition Testing, the facility serving as a Doping Control Station might be an Athlete's house or a hotel or other suitable room rather than an officially designated Doping Control Station.
- 3.5 The Sample Collection Authority 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 an interpreter during the Sample Collection Session, except when the Athlete is passing a urine Sample;
  - (b) a Minor Athlete's entitlement (as provided in Appendix F) and the witnessing DCO/Chaperone's entitlement to have a representative observe the witnessing DCO/Chaperone when the Minor 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) a WADA observer where applicable under the Independent Observer Programme. The WADA observer shall not directly observe the passing of a urine Sample.
- 3.6 It is recommended, though not compulsory, that a security person be positioned outside the Doping Control Station to monitor the flow of people in and out and to keep unauthorised persons from entering the Doping Control Station.

#### Sample Collection Personnel

- 3.7 The Sample Collection Authority shall appoint and authorise Sample Collection Personnel to conduct or assist with Sample Collection Sessions who have been trained for their assigned responsibilities, who do not have a conflict of interest in the outcome of the Sample collection, and who are not Minors. Only qualified persons (medically qualified personnel or phlebotomists) are entitled to collect blood Samples under these Anti-Doping Regulations.

- 3.8 Sample Collection Personnel shall have official documentation, provided by the Sample Collection Authority, evidencing their authority to collect a Sample, such as an authorisation letter from the IAAF or the Sample Collection Authority. DCOs shall also carry complementary identification which includes their name and photograph (i.e., identification card from the Sample Collection Authority, driver's licence, health card, passport or similar valid identification) and the expiry date of the identification. For BCOs, identification requirements shall include their name and photograph and evidence of their qualification in the collection of blood Samples.

#### Sample Collection Equipment

- 3.9 The Sample Collection Authority shall only use Sample Collection Equipment as provided in the Appendices to these Anti-Doping Regulations and which, at a minimum:
- (a) have a unique numbering system incorporated into all bottles, containers, tubes or other items used to seal the Sample;
  - (b) have a sealing system that is tamper-evident;
  - (c) ensure the identity of the Athlete is not evident from the equipment itself; and
  - (d) ensure the equipment is clean and sealed prior to use by the Athlete.
- 3.10 The Sample Collection Authority/DCO 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 the Sample collection documentation have arrived at their intended destinations.

#### Selection of Athletes to be Tested

- 3.11 For Out-of-Competition Testing, the selection of Athletes for Testing shall be done on a Target Testing or Random Selection basis in accordance with the Test Distribution Plan or as otherwise determined by the IAAF (for example, as advised by the Athlete Passport Management Unit). Under no circumstances should Athlete Support Personnel or any other Persons with a conflict (or potential conflict) of interest in the outcome be involved in the process of selecting the Athletes for Testing.
- 3.12 For In-Competition Testing, the selection of Athletes shall be done on a final position basis, Target and/or Random Selection basis, where applicable, in accordance with the number of Sample collections allocated for In-Competition Testing in the Test Distribution Plan. In addition, further Athletes may be selected for Testing at the discretion of the IAAF, the Official in charge of the Doping Control Station, the IAAF Delegate or Medical and Anti-Doping Delegate(s) (if appointed), by any method that it shall choose, including by Target Testing.
- 3.13 In accordance with IAAF Rule 260, Sample collection shall be conducted on any Athlete who has broken or equalled a World Record (namely, a World Record, World Junior Record, World Indoor Record or World Junior Indoor Record). Any Athlete who has broken or equalled a World Record in a running Event (from 400 upwards), a race walking Event or a combined Event shall be tested for erythropoiesis-stimulating agents and their releasing factors. In the case of a Relay World Record, all members of the team are to be Tested.
- 3.14 Following the selection of an Athlete for Sample collection and prior to notification of the Athlete, the Sample Collection Authority and/or the DCO/other responsible official shall ensure Athlete selection decisions are disclosed only to those who need to know in order to ensure that the Athlete can be notified and tested on a No Advance Notice basis.

## 4. CONDUCTING SAMPLE COLLECTION SESSION

### Notification of Athletes

- 4.1 Notification of Athletes starts when the Sample Collection Authority initiates the notification of the selected Athlete and ends when the Athlete arrives at the Doping Control Station or when the Athlete's possible Failure to Comply is brought to the IAAF's attention. The main activities are:
- (a) appointment of DCOs, Chaperones and other Sample Collection Personnel;
  - (b) locating the Athlete and confirming his identity;
  - (c) informing the Athlete that he has been selected to provide a Sample and of his rights and responsibilities;
  - (d) for No Advance Notice Testing, continuously chaperoning the Athlete from the time of notification to the arrival at the designated Doping Control Station; and
  - (e) documenting the notification or notification attempt(s).
- 4.2 Save in exceptional and justifiable circumstances, No Advance Notice Testing shall be the method for Sample collection. It is not justifiable for a Member or other body to insist that it be given advance notice of Testing by the IAAF of Athletes under its jurisdiction so that it can have a representative present at such Testing or otherwise.
- 4.3 The IAAF, or otherwise the Sample Collection Authority, shall establish criteria to validate if necessary the identity of an Athlete who has been selected to provide a Sample. This ensures that the selected Athlete is the Athlete who is notified. The method of identification of the Athlete shall be documented on the Doping Control documentation.
- 4.4 The Sample Collection Authority, DCO or Chaperone, as applicable, shall seek to establish the location of the selected Athlete and shall plan the approach and timing of the notification, taking into consideration the specific circumstances of the situation in question. For No Advance Notice Sample collection conducted In-Competition, the DCO and/or Chaperone shall be given all necessary information and assistance by the Competition organiser, including unrestricted access to the areas where the Athletes may be located.
- 4.5 The Sample Collection Authority shall establish a system for the detailed recording of Athlete notification attempt(s) and outcome(s).
- 4.6 The Athlete should be the first person notified that he has been selected for No Advance Notice Sample collection, except where prior contact with a third party is required as provided below.
- 4.7 The Sample Collection Authority/DCO/Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification of the Athlete when the Athlete is a Minor, in situations where an interpreter is required and available for the notification and when the IAAF decides exceptionally to enlist a third party to assist in locating the Athlete.
- 4.8 When initial contact is made with the Athlete, the DCO or Chaperone, as applicable, should ensure that the Athlete and/or third party (if required in accordance with paragraph 4.7 above) 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, where appropriate, 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 and available, an interpreter accompany him to the Sample collection;
  - (ii) ask for additional information about the Sample collection process;
  - (iii) request a delay in reporting to the Doping Control Station for valid reasons (see 4.11 below);
- (e) of the Athlete's responsibilities, including the requirement to:
  - (i) remain within direct observation of the DCO/Chaperone at all times from the point initial contact is made by the DCO/Chaperone until the completion of the Sample collection procedure;
  - (ii) produce identification when requested to do so in accordance with paragraph 4.3 above;
  - (iii) comply with Sample collection procedures (the Athlete should be advised of the possible Consequences of a Failure to Comply); and
  - (iv) report immediately for Sample collection unless there are valid reasons for a delay as determined in accordance with paragraph 4.11 below.
- (f) of the location of the Doping Control Station;
- (g) that, should the Athlete choose to consume food or fluids prior to providing a Sample, he does so at his own risk;
- (h) not to hydrate excessively since this may delay the production of a suitable Sample; and
- (i) that any urine Sample provided by the Athlete to the Sample Collection Personnel should be the first urine passed by the Athlete subsequent to notification, i.e., he should not pass urine in the shower or otherwise prior to providing a Sample to the Sample Collection Personnel.

4.9 When contact is made with the Athlete, the DCO or Chaperone, as applicable, should:

- (a) from the time of such contact until the Athlete leaves the Doping Control Station at the end of his Sample Collection Session, keep the Athlete under observation at all times;
- (b) identify himself to the Athlete using the identification referred to in paragraph 3.8 above; and
- (c) if necessary, confirm the Athlete's identity per the criteria established in paragraph 4.3 above. Confirmation of the Athlete's identity by any other method, or failure to confirm the identity of the Athlete where necessary, shall be documented and reported to the IAAF. In cases where the Athlete's identity cannot be confirmed per the established criteria, the IAAF shall decide whether it is appropriate to follow up in accordance with a possible Failure to Comply.

4.10 The DCO or Chaperone shall have the Athlete sign an appropriate form to acknowledge and accept the notification (including, where applicable, in electronic form). If the Athlete refuses to sign that he has been notified, or evades the notification, the DCO/Chaperone shall, if possible, inform the Athlete of the Consequences of refusing or failing to comply and the Chaperone (if not the DCO) shall immediately report all relevant facts to the DCO. When possible, the DCO shall continue to collect a Sample. The DCO shall document the facts in a detailed report and report the

circumstances to the IAAF. If the Testing Authority is not the IAAF, the Testing Authority shall report the matter to the IAAF which shall investigate a possible Failure to Comply.

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

For In-Competition Testing:

- (a) participation in a presentation ceremony;
- (b) fulfilment of media commitments;
- (c) competing in further Events;
- (d) performing a warm down;
- (e) obtaining necessary medical treatment;
- (f) locating a representative and/or interpreter;
- (g) obtaining photo identification; or
- (h) any other reasonable circumstances, as determined by the DCO, taking into account any instructions of the IAAF.

For Out-of-Competition Testing:

- (a) locating a representative;
  - (b) completing a training session;
  - (c) receiving necessary medical treatment;
  - (d) obtaining photo identification; or
  - (e) any other reasonable circumstances, as determined by the DCO, taking into account any instructions of the IAAF.
- 4.12 The DCO or other authorised Sample Collection Personnel shall document any reasons for delay in reporting to the Doping Control Station and/or reasons for leaving the Doping Control Station that may require investigation by the IAAF. Any failure of the Athlete to remain under constant observation should also be recorded.
- 4.13 The DCO/Chaperone shall reject a request from an Athlete under 4.11 above if it will not be possible for the Athlete to be continuously chaperoned during the period in question.
- 4.14 If the Athlete delays reporting to the Doping Control Station other than in accordance with paragraph 4.11 above, but arrives prior to the DCO's departure, the DCO shall decide whether to process a possible Failure to Comply. If at all possible, the DCO shall proceed with collecting a Sample and shall document the details of the Athlete's delay in reporting to the Doping Control Station.
- 4.15 The Athlete shall only leave the Doping Control Station after reporting if he is under continuous observation by the DCO or Chaperone and with the approval of the DCO. The DCO shall consider any reasonable request by the Athlete to leave the Doping Control Station as specified in paragraph 4.11.

- 4.16 If the DCO gives approval for the Athlete to leave the Doping Control Station, the DCO shall agree with the Athlete on the following conditions of leave:
- (a) the purpose of the Athlete leaving the Doping Control Station;
  - (b) the time of return (or return upon completion of an agreed activity);
  - (c) that the Athlete must remain under continuous observation throughout;
  - (d) that the Athlete shall not pass urine until he gets back to the Doping Control Station; and
  - (e) the DCO shall document the time of the Athlete's departure and return.
- 4.17 If Sample Collection Personnel observe any matter in connection with the notification of the Athlete with potential to compromise the collection of the Sample, the circumstances shall be reported to, and documented by, the DCO. If deemed appropriate by the DCO, the DCO shall notify the Athlete that he is reporting a Failure to Comply and that an investigation may be carried out and appropriate follow up action taken. The DCO shall also consider whether it is appropriate to collect an additional Sample from the Athlete.

#### Collection of Samples

- 4.18 The DCO/BCO (as applicable) shall collect the Sample from the Athlete according to the following protocols for the specific type of Sample collection:
- (a) Appendix B: Collection of Urine Samples;
  - (b) Appendix C: Collection of Blood Samples (Detection of Prohibited Substances and Prohibited Methods);
  - (c) Appendix D: Collection of Blood Samples (Athlete Biological Passport) .
- 4.19 Any behaviour by the Athlete and/or Persons associated with the Athlete in connection with the collection of the Sample, or anomalies with potential to compromise the Sample collection, shall be recorded in detail by the DCO. If appropriate, the IAAF shall institute an investigation into a possible Failure to Comply in accordance with Appendix E.
- 4.20 If there are doubts as to the origin or authenticity of the Sample, the Athlete shall be asked to provide an additional Sample. If the Athlete refuses to provide an additional Sample, the DCO shall document in detail the circumstances around the refusal and the IAAF shall institute an investigation into a possible Failure to Comply in accordance with Appendix E.
- 4.21 The DCO shall provide the Athlete with the opportunity to document any concerns he may have about how the Sample Collection Session was conducted.
- 4.22 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 or advance notice);
  - (b) arrival time at the Doping Control Station;
  - (c) date and time of completion of the Sample collection process (i.e., the time when the Athlete signs the declaration at the bottom of the Doping Control form);
  - (d) the name of the Athlete;
  - (e) the date of birth of the Athlete;
  - (f) the gender of the Athlete;

- (g) the Athlete's home address, email address and telephone number;
- (h) the Athlete's sport and discipline;
- (i) the name of the Athlete's coach and doctor;
- (j) the Sample code number;
- (k) the type of Sample (urine, blood, etc);
- (l) the type of test (In-Competition or Out-of-Competition);
- (m) the name and signature of the witnessing DCO/Chaperone;
- (n) the name and signature of the BCO (where applicable);
- (o) any partial Sample information;
- (p) required Laboratory information on the Sample (i.e., for a urine Sample, its volume and specific gravity);
- (q) medications and supplements taken within the previous seven days and (where the Sample collected is a blood Sample) blood transfusions within the previous three months, as declared by the Athlete;
- (r) any irregularities in procedures;
- (s) Athlete comments or concerns regarding the conduct of the Sample Collection Session, as declared by the Athlete;
- (t) Athlete consent for the processing of Sample collection data;
- (u) Athlete consent or otherwise for the use of the Sample(s) for research purposes;
- (v) the name and signature of the Athlete's representative (if applicable);
- (w) the name and signature of the Athlete;
- (x) the name and signature of the DCO;
- (y) the name of the Testing Authority;
- (z) the name of the Sample Collection Authority; and
- (aa) the name of the Results Management Authority.

4.23 At the conclusion of the Sample Collection Session, the Athlete and DCO shall sign appropriate documentation (including, where applicable, in electronic form) to indicate their satisfaction that the documentation accurately reflects the details of the Athlete's Sample Collection Session, including any concerns expressed by the Athlete. The Athlete's representative (if any) and the Athlete shall both sign the documentation if the Athlete is a Minor. Other persons present who had a formal role during the Athlete's Sample Collection Session may sign the documentation as a witness of the proceedings.

4.24 The DCO/other responsible person should provide the Athlete with a copy of the records of the Sample Collection Session that have been signed by the Athlete.

#### Security / Post-Test Administration

4.25 The DCO/other responsible person shall be responsible for ensuring that all Samples collected at the Doping Control Station and corresponding Sample collection documentation are securely stored prior to their dispatch from the Doping Control Station.

4.26 The DCO/other responsible person should ensure that all sealed Samples are stored in appropriate conditions in a manner that protects their integrity, identity and security prior to transport from the Doping Control Station.

4.27 Where possible, urine Samples are to be stored in a cool environment, with warm conditions avoided. If the Samples are not to be handed over to the courier immediately and subsequently transported to the nearest Laboratory without delay, the DCO/other responsible person may consider refrigerating or freezing the Samples to minimise the risk of Sample degradation due to factors such as time delays and hot temperature conditions.

4.28 Blood Samples collected for the purpose of detecting Prohibited Substances and Prohibited Methods should be stored strictly in accordance with the requirements of Appendix C.

- 4.29 Blood Samples collected for the purpose of the Athlete Biological Passport should be stored strictly in accordance with the requirements of Appendix D.
- 4.30 Samples must not be left unattended, unless they are locked away, for example, in a refrigerator or cupboard. Access to the Doping Control Station shall wherever possible be restricted to authorised personnel only.
- 4.31 Before the Samples are packed for transportation, it should be confirmed that all Samples that have been taken are present and that the number of Samples is in accordance with the list of code numbers.
- 4.32 The DCO/other responsible person shall accurately complete appropriate documentation for each transport bag/container to ensure that the Laboratory can verify the contents of the bag/container.
- 4.33 The DCO/other responsible person shall ensure, where required, that instructions for the type of analysis to be conducted are provided to the Laboratory.
- 4.34 The DCO/other responsible person shall complete the Laboratory advice form/Chain of Custody form and shall also ensure that the Laboratory is provided with the information under 4.22 (c), (f), (h), (j), (k), (l), (o), (p), (q), (y), (z) and (aa). The Laboratory copy of the Doping Control Form shall be placed in the transport bag with the Samples and sealed, preferably in the presence of a witness. Documentation identifying the Athlete shall not be included with the Samples.
- 4.35 The DCO/other responsible person shall keep the Samples under his control until they are passed to the courier or other Person responsible for their transportation.

#### Transportation of Samples and Documentation

- 4.36 A transportation system authorised by the IAAF should be used that ensures that Samples and Sample documentation are transported to the Laboratory in a manner that protects their integrity, identity and security as soon as practicable after the completion of the Sample Collection Session. Samples should, at a minimum, be placed in a suitable outer container for despatch to the Laboratory.
- 4.37 Documentation identifying the Athlete should not be included with the Samples or documentation sent to the Laboratory that will be analysing the Samples.
- 4.38 Samples may be taken directly to the Laboratory by the DCO/BCO (as applicable) or handed over to a third party for transportation. The third party should document the Chain of Custody of the Samples. If an approved courier company is used to transport the Samples, the DCO/BCO should record the waybill number.
- 4.39 Samples should always be transported to the Laboratory that will be analysing the Samples using the IAAF's authorised transport method, as soon as practicable after the completion of the Sample Collection Session. Samples should be transported in a manner which minimises the potential for Sample degradation due to factors such as time delays and extreme temperature conditions.
- 4.40 Blood Samples collected for the purpose of detecting Prohibited Substances and Prohibited Methods should be transported strictly in accordance with the requirements of Appendix C.
- 4.41 Blood Samples collected for the purpose of the Athlete Biological Passport should be transported strictly in accordance with the requirements of Appendix D.

- 4.42 Due to the more stringent temperature and analysis requirements for blood Samples, blood and urine Samples may be transported separately. The relevant paperwork linking the two Sample types should be included with each shipment however.
- 4.43 All information relating to the Chain of Custody of the Samples collected should be recorded, including confirmation that the Samples have arrived at their intended destination.
- 4.44 The DCO/BCO (as applicable) should send all relevant Sample Collection Session documentation to the Sample Collection Authority/IAAF as soon as practicable after the completion of the Sample Collection Session.
- 4.45 If the Samples with accompanying documentation are not received at their intended destination, or if a Sample's integrity or identity may have been compromised during transport, the Sample Collection Authority/IAAF shall check the Chain of Custody and the IAAF shall consider whether the Sample(s) shall be voided. The opening of the outer container during transportation will not, however, of itself, invalidate the Sample(s).
- 4.46 Documentation related to a Sample Collection Session and/or an Anti-Doping Rule Violation shall be stored by the IAAF and/or Sample Collection Authority for the period specified in the International Standard for the Protection of Privacy and Personal Information.

#### Ownership of Samples

- 4.47 Samples collected from an Athlete are owned by the Testing Authority for the Sample Collection Session in question. In accordance with Article 6.3.1, all Samples (and related data) collected under the Testing Authority of the IAAF shall immediately become the property of the IAAF.
- 4.48 A Testing Authority may transfer ownership of its Samples to the Results Management Authority or to the IAAF or another Anti-Doping Organisation upon request.

#### Analysis of Samples

- 4.49 Samples collected for the purpose of detecting Prohibited Substances and Prohibited Methods shall be analysed only in WADA-accredited laboratories or Laboratories otherwise approved by WADA. In the case of Samples collected by the IAAF pursuant to Article 5.5.1, Samples shall only be sent to WADA-accredited or WADA-approved Laboratories which have been prior approved by the IAAF.
- 4.50 Laboratories shall analyse Samples and report results in conformity with the International Standard for Laboratories and related Technical Documents published by WADA.
- 4.51 Where required, instructions for a specific type of analysis to be conducted shall be provided to the Laboratory concerned.
- 4.52 Samples collected for the purpose of the Athlete Biological Passport shall be analysed in WADA-accredited Laboratories or WADA-approved Laboratories for the ABP.
- 4.53 WADA-accredited Laboratories and WADA-approved Laboratories for the ABP shall analyse Samples collected for the Athlete Biological Passport and report results in accordance with the International Standard for Laboratories and the respective requirements of the following Technical Documents:
- (a) Blood Samples shall be analysed and results reported in accordance with WADA Technical Document TD2017BAR (Blood Analytical Requirements for the Athlete Biological Passport) as may be amended from time to time; and

- (b) Urine Samples shall be analysed and results reported in accordance with WADA Technical Document TD2016EAAS (Endogenous Anabolic Androgenic Steroids Measurement and Reporting) as may be amended from time to time.
- 4.54 WADA-accredited Laboratories and WADA-Approved Laboratories for the ABP shall be presumed to have conducted the Sample analysis and custodial procedures of Athlete Biological Passport Samples in accordance with the International Standard for Laboratories and Technical Documents. The Athlete or other Person may rebut this presumption by establishing that a departure from the International Standard for Laboratories and/or Technical Documents occurred, which could reasonably have significantly modified the result. In such cases, the IAAF, Member or other prosecuting authority shall have the burden to establish why such a departure does not invalidate the result.

## 5. GATHERING, ASSESSMENT AND USE OF INTELLIGENCE

- 5.1 In accordance with Article 5.1, the IAAF shall obtain, assess and process anti-doping intelligence from all available sources in order to inform the development of an effective, intelligent and proportionate Test Distribution Plan and/or to plan Target Testing and/or to form the basis of an investigation into a possible Anti-Doping Rule Violation(s).
- 5.2 Members are required in accordance with Article 15.3 to report to the IAAF and their National Anti-Doping Organisation (if any) any information that suggests or relates to Anti-Doping Rule Violations being or having been committed within their respective jurisdictions. A failure to so report may lead to sanctions being taken by the IAAF Council against the relevant Member in accordance with Article 16.

### Gathering of anti-doping intelligence

- 5.3 The IAAF, Area Associations and Members shall do everything in their power to ensure that they are able to capture or receive anti-doping intelligence from all available sources, including Athletes and Athlete Support Personnel (including by virtue of Substantial Assistance provided pursuant to Article 10.6.1), members of the public (e.g., by means of a confidential telephone hotline), Sample Collection Personnel (whether via mission reports, incident reports, or otherwise), laboratories, pharmaceutical companies, law enforcement, other regulatory and disciplinary bodies, and the media.
- 5.4 The IAAF, Area Associations and Members shall further have policies and procedures in place to ensure that anti-doping intelligence captured or received is handled securely and confidentially, that sources of intelligence are protected, that the risk of leaks or inadvertent disclosure is properly addressed, and that intelligence shared with them by law enforcement, other relevant authorities and/or other third parties, is processed, used and disclosed only for legitimate anti-doping purposes.

### Assessment and analysis of anti-doping intelligence

- 5.5 The IAAF, Area Associations and Members shall ensure that they are able to assess all anti-doping intelligence upon receipt for its relevance, reliability and accuracy, taking into account the nature of the source and the circumstances in which the intelligence has been captured or received.
- 5.6 All anti-doping intelligence captured or received by the IAAF, an Area Association or a Member should be collated and analysed to establish patterns, trends and relationships that may assist in developing an effective anti-doping strategy and/or in determining (where the intelligence relates to a particular case) whether there is reasonable cause to suspect that an Anti-Doping Rule Violation may have been committed, such that further investigation is warranted in accordance with Chapter 6 of these Anti-Doping Regulations.

### Intelligence outcomes

- 5.7 Anti-doping intelligence shall be used to assist in developing, reviewing and revising the Test Distribution Plan and/or in determining when to conduct Target Testing, in each case in accordance with Chapter 2 of these Anti-Doping Regulations and/or to create targeted intelligence files to be referred for investigation in accordance with Chapter 6 of the Anti-Doping Regulations.

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

## 6. INVESTIGATIONS

### Investigating Atypical Findings and Adverse Passport Findings

- 6.1 The IAAF shall investigate confidentially and effectively Atypical Findings and Adverse Passport Findings arising out of Testing conducted on its behalf and/or for which it is the Results Management Authority, in accordance with the requirements of Articles 7.4 and 7.5 and the International Standard for Laboratories (and Technical Documents) and these Anti-Doping Regulations.
- 6.2 The procedure for the investigation of Atypical Findings is set out in Article 7.4.
- 6.3 The procedure for investigating possible Adverse Passport Findings is set out in more detail in Chapter 8 below.
- 6.4 The IAAF shall provide to WADA upon request (or shall procure that the Testing Authority, if different, provides to WADA upon request) further information regarding the circumstances of Adverse Analytical Findings, Atypical Findings, and other potential Anti-Doping Rule Violations, such as (without limitation):
- (a) the Competition level of the Athlete in question;
  - (b) what whereabouts information (if any) the Athlete in question provides, and whether that information was used to locate him for the Sample collection that led to the Adverse Analytical Finding or the Atypical Finding;
  - (c) the timing of the Sample collection in question relative to the Athlete's training and Competition schedules; and
  - (d) other such profile information as may be determined by WADA.

### Investigating other possible Anti-Doping Rule Violations

- 6.5 The IAAF shall ensure that it is able to investigate confidentially and effectively any other analytical or non-analytical information or intelligence that indicates there is reasonable cause to suspect that an Anti-Doping Rule Violation may have been committed, in accordance with Articles 7.6 and 7.7 and respectively.
- 6.6 When there is reasonable cause to suspect that an Anti-Doping Rule Violation may have been committed, the IAAF shall notify WADA that it is starting an investigation into the matter in accordance with Articles 7.6 and 7.7 and, as applicable. Thereafter, the IAAF shall keep WADA updated on the status and findings of the investigation upon request.
- 6.7 The IAAF shall gather and record all relevant information and documentation as soon as possible, in order to develop that information and documentation into admissible and reliable evidence in relation to the possible Anti-Doping Rule Violation, and/or to identify further lines of enquiry that may lead to the discovery of such evidence. The IAAF shall ensure that investigations are conducted fairly, objectively and impartially at all times and the IAAF Anti-Doping Administrator may, in the course of such an investigation, seek an advisory opinion from any person or persons whom he considers to be appropriate. The conduct of investigations, the evaluation of information and evidence identified in the course of that investigation, and the outcome of the investigation, shall be fully documented.

- 6.8 The IAAF should make use of all investigative resources reasonably available to it to conduct its investigation. This may include obtaining information and assistance from law enforcement and other relevant authorities, including other regulators. However, the IAAF should also make full use of all investigative resources at its own disposal, including the Athlete Biological Passport program, investigative powers conferred under applicable rules (e.g., the power to demand the production of relevant documents and information, and the power to interview both potential witnesses and the Athlete or other Person who is the subject of the investigation), and the power to suspend a period of Ineligibility imposed on an Athlete or other Person in return for the provision of Substantial Assistance in accordance with Article 10.6.1(a) .
- 6.9 The IAAF may further at any time in accordance with Article 5.10.5 require a Member (i) to investigate a possible Anti-Doping Rule Violation by an Athlete or other Person within its jurisdiction (where appropriate in conjunction with its National Anti-Doping Organisation or other relevant national authority or body) and (ii) provide a written report on such investigation to the IAAF within a reasonable period of time.
- 6.10 Athletes and Athlete Support Personnel are required to cooperate with investigations conducted by the IAAF and its Members and, if they fail to do so, disciplinary action will be taken against them. If their conduct amounts to subversion of the investigation process (e.g., by providing false, misleading or incomplete information, and/or by destroying potential evidence), the IAAF shall consider bringing proceedings against them for violation of Article 2.5 (Tampering or Attempted Tampering).

#### Investigation outcomes

- 6.11 The IAAF shall come to a decision efficiently and without undue delay as to whether proceedings should be brought against the Athlete or other Person asserting commission of an Anti-Doping Rule Violation. If the IAAF fails to make such a decision within a reasonable deadline set by WADA, WADA may elect to appeal directly to CAS in accordance with Article 13.3. Before taking such action, WADA will consult with the IAAF and give it the opportunity to explain why it has not rendered a decision.
- 6.12 Where the IAAF concludes based on the results of its (or a Member's) investigation that proceedings should be brought against the Athlete or other Person asserting commission of an Anti-Doping Rule Violation, it shall give notice of that decision in the manner set out in Article 7 and shall bring the proceedings against the Athlete or other Person in question in accordance with Article 8.
- 6.13 Where the IAAF concludes, based on the results of its (or a Member's) investigation, that proceedings should not be brought against the Athlete or other Person asserting commission of an Anti-Doping Rule Violation:
- (a) it shall notify WADA and the Athlete's or other Person's National Federation and National Anti-Doping Organisation in writing of that decision, with reasons.
  - (b) it shall provide such other information about the investigation as is reasonably required by WADA and/or the National Federation and/or National Anti-Doping Organisation in order to determine whether to appeal against that decision.
  - (c) in any event, it shall consider whether any of the intelligence obtained and/or lessons learned during the investigation should be used to inform the development of its Test Distribution Plan and/or to plan Target Testing, and/or should be shared with any other body.

## 7. THERAPEUTIC USE EXEMPTIONS

### Introduction

- 7.1 Athletes with a documented medical condition requiring the Use of a Prohibited Substance or Prohibited Method must obtain a TUE in accordance with the provisions of this Chapter 7.
- 7.2 A TUE for the Use of a Prohibited Substance or a Prohibited Method is required:
- (a) Out-of-Competition - for the Use of the substances and methods listed in the Prohibited List as being prohibited at all times (see S0-S5 and M1-M3 of the Prohibited List); and
  - (b) In-Competition - for the Use of the substances and methods listed in the Prohibited List as being prohibited at all times (see S0-S5 and M1-M3) and for the Use of the substances and methods listed as being prohibited In-Competition only (see S6-S9).
- 7.3 An Athlete may be granted a TUE if (and only if) he can show that each of the following conditions is met:
- (a) that the Prohibited Substance or Prohibited Method in question is needed to treat an acute or chronic medical condition such that the Athlete would experience a significant impairment to his health if the Prohibited Substance or Prohibited Method were to be withheld.
  - (b) that the Therapeutic Use of the Prohibited Substance or Prohibited Method is highly unlikely to produce any additional enhancement of performance beyond what might be anticipated by a return to the Athlete's normal state of health following the treatment of the acute or chronic medical condition. The Use of any Prohibited Substance or Prohibited Method to increase “low-normal” levels of any endogenous hormone or physiological blood parameter is not considered an acceptable Therapeutic intervention.
  - (c) that there is no reasonable Therapeutic alternative to the Use of the otherwise Prohibited Substance or Prohibited Method.
  - (d) that the necessity for the Use of the Prohibited Substance or Prohibited Method is not a consequence, either wholly or in part, of the prior Use, without a TUE, of any substance or method which was prohibited at the time of such Use.
- 7.4 If an Athlete is an International-Level Athlete, he must apply for a TUE to the IAAF in accordance with the procedures set out below. The IAAF shall publish a notice (at a minimum by posting it on its website) that sets out clearly which Athletes are required to apply to the IAAF for a TUE either because they are in the Registered Testing Pool of the IAAF or because they are competing in an International Competition under Article 5.5.1.
- 7.5 If an Athlete is not an International-Level Athlete, he must apply for a TUE to the appropriate TUE body established within the Athlete's National Federation, or to such other body as may be designated by the Athlete's National Federation to review TUE cases, or which otherwise has competent authority to grant TUEs in the Country or Territory of the National Federation. References below to the Member or National Federation shall also include references to the otherwise competent TUE authority at national level where applicable. All applications at national level must be reviewed in accordance with the principles set out in this Chapter 7. In case of dispute as to which organisation at national level should deal with a TUE application of an Athlete who is

not an International-Level Athlete, WADA will decide. WADA's decision will be final and not subject to appeal.

- 7.6 If an Athlete is granted a TUE by his National Federation or other competent authority at a time when he is not an International-Level Athlete but he then becomes an International-Level Athlete (either because he is subsequently added by the IAAF to its Registered Testing Pool or because he is competing in one of the International Competitions under Article 5.5.1), he is not required to submit a new TUE application to the IAAF but he is required to comply with the recognition process set out in paragraphs 7.34 and following below.
- 7.7 An Athlete must not apply for a TUE to more than one organisation at a time.

#### Establishing a TUEC

- 7.8 The IAAF and each Member shall establish a TUEC to consider whether applications for the grant or recognition of a TUE meet the conditions set out in paragraph 7.3 above. 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, at least a majority of the members of a TUEC should have no political responsibility in the organisation that appoints them. All members of the TUEC must sign a conflict of interest and confidentiality declaration.
- 7.9 The IAAF Council shall appoint a specific body to consider applications submitted by International-Level Athletes for the grant or recognition of a TUE. This body shall be established as a Sub-Commission of the IAAF Health and Science Commission (the "IAAF TUESC") and the Chairman of the Health and Science Commission shall also be the Chairman of the IAAF TUESC.
- 7.10 The IAAF TUESC shall include, in addition to the Chairman, at least two physicians with experience in the care and treatment of Athletes and with a sound knowledge of clinical, sports and exercise medicine. The Chairman of the Health and Science Commission shall have authority at any time to appoint an additional person or persons to the IAAF TUESC, as may be required, either on a temporary or on a permanent basis. In normal circumstances, a minimum of three members of the IAAF TUESC shall review each TUE application. The Chairman may decide in appropriate circumstances to delegate responsibility for reviewing TUE applications to a single experienced physician. No member of the IAAF TUESC shall adjudicate on a TUE application submitted by an Athlete from (or representing) his own Country.
- 7.11 The members of the IAAF TUESC may exchange views on TUE applications by any appropriate means, including by e-mail, telephone, facsimile or in person.
- 7.12 The IAAF TUESC may, in the course of reviewing a TUE application, seek from external, independent experts (including, where appropriate, from the WADA TUE Committee and/or the IOC TUE Committee) any additional medical or scientific advice as it may deem to be necessary.
- 7.13 The IAAF TUESC may, in the course of exercising its function, refer to the Council for its opinion or guidance, either in relation to a particular case or on any matter of general policy that may arise.

#### TUE Application Process

- 7.14 The IAAF and each Member shall establish a clear process for applying to its TUEC for a TUE that complies with the requirements of these Anti-Doping Regulations. Details of the IAAF process shall be published by (at a minimum) posting the information on its website.
- 7.15 An Athlete who needs a TUE should apply for it as soon as possible. For substances and methods prohibited In-Competition only, the Athlete should apply for a TUE at least 30 days before his next

Competition, unless paragraph 7.16 applies. The Athlete should apply to the IAAF or Member using the TUE application form provided (which shall be available for downloading on the IAAF website).

- 7.16 An Athlete may only be granted retroactive approval for his Therapeutic Use of a Prohibited Substance or Prohibited Method (i.e., a retroactive TUE) if:
- (a) emergency treatment or treatment of an acute medical condition was necessary, or
  - (b) due to other exceptional circumstances, there was insufficient time or opportunity for the Athlete to submit, or for the TUEC to consider, an application for the TUE prior to Sample collection; or
  - (c) the applicable rules required the Athlete or permitted the Athlete to apply for a retroactive TUE; or
  - (d) it is agreed by WADA and the IAAF or the Member (as applicable) to whom the application for a retroactive TUE is or would be made that fairness requires the grant of a retroactive TUE.
- 7.17 The Athlete should wherever possible submit the TUE application form to the IAAF or relevant Member (as applicable) via ADAMS or as otherwise specified by the IAAF or the Member. The form must be accompanied by:
- (a) a statement by an appropriately qualified physician attesting to the need for the Athlete to Use the Prohibited Substance or Prohibited Method in question for Therapeutic reasons and describing why an alternative, permitted medication cannot, or could not, be used in the treatment of such condition;
  - (b) a comprehensive medical history, including documentation from the original diagnosing physician(s) (where possible) and the results of all examinations, laboratory investigations and imaging studies relevant to the application. The information submitted in relation to the diagnosis, treatment and duration of validity should be guided by the WADA “Medical Information to support the decisions of TUEs”; and
  - (c) a declaration of the approved substance or method, dosage, frequency, route and duration of Administration of the Prohibited Substance or Prohibited Method which, in case of material change, will require a new application to be submitted.
- 7.18 The Athlete should keep a complete copy of the TUE application form and of all materials and information submitted in support of that application.
- 7.19 A TUE application will only be considered by the TUEC following the receipt of a properly completed application form accompanied by all relevant documents. Incomplete applications will be returned to the Athlete for completion and re-submission.
- 7.20 The TUE application must list any previous and/or current TUE requests for permission to Use an otherwise Prohibited Substance or Prohibited Method, the body to whom that request was made, the decision of that body and the decisions of any other body on review or appeal.
- 7.21 The TUEC may request from the Athlete or his physician any additional information, examinations or imaging studies, or other information that it deems necessary in order to consider the Athlete’s application; and/or it may seek the assistance of such other medical or scientific experts as it deems appropriate.

- 7.22 Any costs incurred by the Athlete in making the TUE application and in supplementing it as required by the TUEC are the responsibility of the Athlete.
- 7.23 Unless one of the exceptions in paragraph 7.16 above applies, an Athlete who needs to Use a Prohibited Substance or Prohibited Method for Therapeutic reasons must obtain a TUE prior to Using or Possessing the substance or method in question.

#### Decision of the TUEC

- 7.24 The TUEC shall decide whether or not to grant the application as soon as possible, and usually (i.e., unless exceptional circumstances apply) within no more than 21 days of receipt of a complete application. Where a TUE application is made a reasonable time prior to a Competition, the TUEC must use its best endeavours to issue its decision before the start of the Competition.
- 7.25 The TUEC's decision must be communicated in writing to the Athlete and must be made available to WADA and to other relevant Anti-Doping Organisations via ADAMS or any other system approved by WADA, in accordance with Article 4.4.
- (a) A decision to grant a TUE must specify the dosage(s), frequency, route and duration of Administration of the Prohibited Substance or Prohibited Method in question that the TUEC is permitting, reflecting the clinical circumstances, as well as any conditions imposed in connection with the TUE.
- (b) A decision to deny a TUE application must include an explanation of the reason(s) for the denial.
- 7.26 Each TUE will have a specified duration, as decided by the TUEC, at the end of which the TUE will expire automatically. The duration of validity should be guided by the WADA documents entitled "Medical Information to Support the Decisions of TUECs". If the Athlete needs to continue to Use the Prohibited Substance or Prohibited Method after the expiry date, he must submit an application for a new TUE well in advance of that expiry date, so that there is sufficient time for a decision to be made on the application before the expiry date.
- 7.27 A TUE will be withdrawn prior to expiry if the Athlete does not promptly comply with any requirements or conditions imposed by the organisation granting the TUE. Alternatively, a TUE may be reversed upon review by WADA or on appeal. Where an Adverse Analytical Finding is issued shortly after a TUE for the Prohibited Substance in question has expired or has been withdrawn or reversed, the IAAF or Member (as applicable) conducting the initial review of the Adverse Analytical Finding (Article 7.3.1) shall consider whether the finding is consistent with Use of the Prohibited Substance prior to the expiry, withdrawal or reversal of the TUE. If so, such Use (and any resulting presence of the Prohibited Substance in the Athlete's Sample) will not be considered as an Anti-Doping Rule Violation.
- 7.28 In the event that, after his TUE is granted, the Athlete requires a materially different dosage, frequency, route or duration of Administration of the Prohibited Substance or Prohibited Method to that specified in the TUE, he must apply for a new TUE. If any presence, Use, Possession or Administration of the Prohibited Substance or Prohibited Method is not consistent with the terms of the original TUE granted, the fact that the Athlete has the TUE will not prevent the finding of an Anti-Doping Rule Violation.

### Reporting of TUE decisions

- 7.29 The IAAF and each Member shall promptly report (in English or French) all decisions of its respective TUEC granting or denying a TUE through ADAMS or any other system approved by WADA. In respect of TUEs granted, the information reported shall include:
- (a) not only the approved substance or method, but also the dosage(s), frequency and route of Administration permitted, the duration of the TUE and any conditions imposed in connection with the TUE;
  - (b) the TUE application form and the relevant clinical information (translated into English or French) establishing that the paragraph 7.3 conditions have been satisfied in respect of such TUE (for access only by WADA, the IAAF, the Athlete's National Federation and National Anti-Doping Organisation and the Major Event Organisation organising a Competition in which the Athlete wishes to compete).
- 7.30 When a Member grants a TUE to an Athlete, it must warn him in writing (a) that the TUE is valid at national level only; and (b) that, if the Athlete subsequently becomes an International-Level Athlete or competes in an International Competition under Article 5.5.1, the TUE will not be valid for those purposes unless it is recognised by the IAAF or Major Event Organisation (as applicable) in accordance with paragraph 7.33 below. The Member should help the Athlete to determine when he needs to submit the TUE to the IAAF or Major Event Organisation (as applicable) for recognition and should guide and support the Athlete through the recognition process.
- 7.31 The IAAF shall publish a notice (at a minimum, by posting it on its website) that sets out clearly (i) which TUE decisions of Members it will automatically recognise in accordance with paragraph 7.34(a) and (ii) which TUE decisions will have to be re-submitted to it for recognition in accordance with paragraph 7.34(b). WADA may re-publish the notice on its website.
- 7.32 Any TUE that an Athlete has obtained from his Member shall not be valid if the Athlete becomes an International-Level Athlete or competes in an International Competition under Article 5.5.1 unless and until the IAAF recognises the TUE in accordance with paragraph 7.34. Any TUE that an Athlete has obtained from the IAAF shall not be valid if the Athlete competes in an International Competition organised by a Major Event Organisation unless and until the Major Event Organisation recognises the TUE in accordance with paragraph 7.34. As a result, if the IAAF or Major Event Organisation (as applicable) declines to recognise that TUE, then (subject to the Athlete's rights of review and appeal) that TUE may not be relied upon to excuse the presence, Use, Possession or Administration of the Prohibited Substance or Prohibited Method mentioned in the TUE vis-à-vis that IAAF or Major Event Organisation (as applicable).

### TUE Recognition Process

- 7.33 The IAAF and each Member shall recognise any TUE granted under these Anti-Doping Regulations if it has been properly reported and satisfies the conditions of paragraph 7.3 above.
- 7.34 If an International-Level Athlete already has a TUE granted by his National Federation, he is not required to submit an application for a new TUE to the IAAF (or to a Major Event Organisation such as the IOC). Instead:
- (a) The IAAF (or Major Event Organisation) may publish notice that it will automatically recognise TUE decisions (or certain categories of such decisions, e.g., those made by specified Members, or those relating to particular Prohibited Substances), provided that such TUE decisions have been reported in accordance with paragraph 7.29 and therefore are available for review by WADA. If the Athlete's TUE falls into a category of TUEs that

are automatically recognised in this way at the time the TUE is granted, he does not need to take any further action.

- (b) In the absence of such automatic recognition, the Athlete shall submit a request for recognition of the TUE to the IAAF (or Major Event Organisation), either via ADAMS or as otherwise specified by the IAAF (or Major Event Organisation). The request should be accompanied by a copy of the TUE and the original TUE application form and supporting materials (unless the Member that granted the TUE has already made the TUE and supporting materials available via ADAMS or other system approved by WADA).
- 7.35 Incomplete requests for recognition of a TUE will be returned to the Athlete for completion and re-submission. In addition, the TUEC may request from the Athlete or his physician any additional information, examinations or imaging studies, or other information that it deems necessary in order to consider the Athlete's request for recognition of the TUE; and/or it may seek the assistance of such other medical or scientific experts as it deems appropriate.
- 7.36 Any costs incurred by the Athlete in making the request for recognition of the TUE and in supplementing it as required by the TUEC are the responsibility of the Athlete.
- 7.37 The TUEC shall decide whether or not to recognize the TUE as soon as possible, and usually (i.e., unless exceptional circumstances apply) within no more than 21 days of receipt of a complete request for recognition. Where the request is made a reasonable time prior to a Competition, the TUEC must use its best endeavours to issue its decision before the start of the Competition.
- 7.38 The TUEC's decision on recognition will be notified in writing to the Athlete and will be made available to WADA and to other Anti-Doping Organisations via ADAMS or any other system approved by WADA. A decision not to recognize a TUE must include an explanation of the reason(s) for the non-recognition.

#### Review of TUE decisions by WADA

- 7.39 WADA shall review any decision of the IAAF not to recognise a TUE granted by a Member that is referred to it by the Athlete or his National Federation. In addition, WADA may review any other TUE decision at any time, whether upon request by those affected or on its own initiative, in each case to determine compliance with the paragraph 7.3 conditions. WADA shall establish a WADA TUEC that meets the requirements of paragraph 7.8 to carry out such reviews.
- 7.40 Each request for review must be submitted to WADA in writing, and must be accompanied by payment of the application fee established by WADA, as well as copies of all of the information specified in paragraph 7.17 (or, in the case of review of a TUE denial, all of the information that the Athlete submitted in connection with the original TUE application). The request must be copied to the party whose decision would be the subject of the review, and to the Athlete (if he is not requesting the review).
- 7.41 Where the request is for review of a TUE decision that WADA is not obliged to review, WADA shall advise the Athlete as soon as practicable following receipt of the request whether or not it will refer the TUE decision to the WADA TUEC for review. If WADA decides not to refer the TUE decision, it will return the application fee to the Athlete. Any decision by WADA not to refer the TUE decision to the WADA TUEC is final and may not be appealed. However, the TUE decision may still be appealable, as set out in Article 13.2.
- 7.42 Where the request is for review of a TUE decision of the IAAF that WADA is obliged to review, WADA may nevertheless refer the decision back to the IAAF (a) for clarification (for example, if the reasons are not clearly set out in the decision); and/or (b) for re-consideration by the IAAF (for

example, if the TUE was only denied because medical tests or other information required to demonstrate satisfaction of the paragraph 7.3 conditions were missing).

- 7.43 Where a request for review is referred to the WADA TUEC, the WADA TUEC may seek additional information from the IAAF or Member (as applicable) and/or the Athlete, including further studies as described in paragraph 7.21, and/or it may obtain the assistance of other medical or scientific experts as it deem appropriate.
- 7.44 The WADA TUEC shall reverse any grant of a TUE that does not comply with the paragraph 7.3 conditions. Where the TUE reversed is a prospective TUE (rather than a retroactive TUE), such reversal shall take effect upon the date specified by WADA (which shall not be earlier than the date of WADA's notification to the Athlete). The reversal shall not apply retroactively and the Athlete's results prior to such notification shall not be Disqualified. Where the TUE reversed is a retroactive TUE, however, the reversal shall also be retroactive and the Athlete's results shall be Disqualified.
- 7.45 The WADA TUEC shall reverse any denial of a TUE where the TUE application met the paragraph 7.3 conditions, i.e., it shall grant the TUE.
- 7.46 Where the WADA TUEC reviews a decision of the IAAF that has been referred to it pursuant to Article 4.4.2(a) (i.e., a mandatory review), it may require whichever organisation "loses" the review (i.e., the organisation whose view it does not uphold) (a) to reimburse the application fee to the party that referred the decision to WADA (if applicable); and/or (b) to pay the costs incurred by WADA in respect of that review, to the extent they are not covered by the application fee.
- 7.47 Where the WADA TUEC reverses a TUE decision that WADA has decided in its discretion to review, WADA may require the IAAF or Member (as applicable) that made the decision to pay the costs incurred by WADA in respect of that review.
- 7.48 WADA shall communicate the reasoned decision of the WADA TUEC promptly to the Athlete, his National Federation and the IAAF (and, if applicable, the Major Event Organisation).

#### Confidentiality of Information

- 7.49 The collection, storage, processing, disclosure and retention of Personal Information during the TUE process shall comply with the International Standard for the Protection of Privacy and Personal Information.
- 7.50 An Athlete applying for the grant of a TUE or for the recognition of a TUE shall provide written consent:
- (a) for the transmission of all information pertaining to the application to members of all TUECs with authority under these Anti-Doping Regulations to review the file and, as required, other independent medical or scientific experts and to all necessary staff (including WADA staff) involved in the management, review or appeal of TUE applications;
  - (b) for the Athlete's physician(s) to release to the TUEC upon request any health information that the TUEC deems necessary in order to consider and determine the Athlete's application; and
  - (c) for the decision on the application to be made available to all Anti-Doping Organisations with Testing Authority and/or results management authority over the Athlete.

- 7.51 The TUE application shall be dealt with in accordance with the principles of strict medical confidentiality. The members of the TUEC and all necessary staff involved in the administration of TUE applications under these Anti-Doping Regulations shall conduct their activities relating to the process in strict confidence and shall sign appropriate confidentiality agreements. In particular, they shall 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.
- 7.52 Should the assistance of external, independent experts be required, all details of the application will be circulated without identifying the Athlete involved.
- 7.53 Should the Athlete wish to revoke the right of the TUEC to obtain any health information on his behalf, the Athlete must notify his 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.
- 7.54 The IAAF and each Member shall only use information submitted by an Athlete in connection with a TUE application to evaluate the application and in the context of potential Anti-Doping Rule Violation investigations and proceedings.

## 8. RESULTS MANAGEMENT

### Results Management of Whereabouts Failures

- 8.1 Results management in relation to a potential Whereabouts Failure (a Filing Failure or a Missed Test) shall be administered for Athletes in the IAAF Registered Testing Pool by the IAAF and for Athletes in a national Registered Testing Pool by the Member, National Anti-Doping Organisation or other Anti-Doping Organisation with which the Athlete files his whereabouts information in accordance with these Anti-Doping Regulations.
- 8.2 References below to the IAAF shall, where applicable, be a reference to the Member, National Anti-Doping Organisation or other Anti-Doping Organisation that otherwise has Results Management Authority in accordance with paragraph 8.1 above. In such cases, the Member, National Anti-Doping Organisation or other Anti-Doping Organisation with Results Management Authority shall keep the IAAF systematically updated on the results management process as it proceeds.
- 8.3 When a Whereabouts Failure appears to have occurred, results management shall proceed as follows:
- (a) If the apparent Whereabouts Failure has been uncovered by an attempt to test the Athlete, the IAAF shall obtain an Unsuccessful Attempt Report from the DCO. If the IAAF is not the Testing Authority, the Testing Authority shall provide the Unsuccessful Attempt Report to the IAAF without delay, and thereafter it shall assist the IAAF as necessary in obtaining information from the DCO in relation to the apparent Whereabouts Failure.
  - (b) The IAAF shall review the file (including any Unsuccessful Attempt Report filed by the DCO) to determine whether all of the Appendix A.3.9 requirements (in the case of a Filing Failure) or all of the Appendix A.4.3 requirements (in the case of a Missed Test) are met. It shall gather information as necessary from third parties (e.g., the DCO whose test attempt uncovered the Filing Failure or triggered the Missed Test) to assist it in this task.
  - (c) If the IAAF concludes that any of the relevant requirements have not been met (so that no Whereabouts Failure should be declared), it shall so advise WADA, the Member, the National Anti-Doping Organisation and the Anti-Doping Organisation that uncovered the Whereabouts Failure (as applicable), giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with Article 13.
  - (d) If the IAAF concludes that all of the relevant requirements have been met, it shall notify the Athlete within 14 days of the date of the apparent Whereabouts Failure. The notice shall include sufficient details of the apparent Whereabouts Failure to enable the Athlete to respond meaningfully, and shall give the Athlete 14 days to respond, advising whether he admits the Whereabouts Failure and, if not, then why not. The notice should also advise the Athlete that three Whereabouts Failures in any 12-month period is an Article 2.4 Anti-Doping Rule Violation, and should note whether he has any other Whereabouts Failures recorded against him in the previous 12 months. In the case of a Filing Failure, the notice must also advise the Athlete that, in order to avoid a further Filing Failure, he must file the missing whereabouts information by the deadline specified in the notice (which must be no less than 24 hours after receipt of the notice and no later than the end of the month in which the notice is received).
  - (e) If the Athlete does not respond within the specified deadline, the IAAF shall record the notified Whereabouts Failure against him. If the Athlete does respond within the deadline,

the IAAF shall consider whether his response changes its original decision that all of the requirements for recording a Whereabouts Failure have been met.

- (i) if so, it shall so advise WADA, the Member, the National Anti-Doping Organisation and the Anti-Doping Organisation that uncovered the Whereabouts Failure (as applicable), giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with Article 13.
  - (ii) if not, it shall so advise the Athlete (with reasons) and specify a 14 day deadline by which he may request an administrative review of its decision. The Unsuccessful Attempt Report should be provided to the Athlete at this point if it has not been provided to him earlier in the process.
- (f) If the Athlete does not request an administrative review by the specified deadline, the IAAF shall record the notified Whereabouts Failure against him. If the Athlete does request an administrative review before the deadline, it shall be carried out, based on the papers only, by one or more persons not previously involved in the assessment of the apparent Whereabouts Failure. The purpose of the administrative review shall be to determine anew whether or not all of the relevant requirements for recording a Whereabouts Failure are met.
- (g) If the conclusion following administrative review is that all of the requirements for recording a Whereabouts Failure are not met, the IAAF shall so advise WADA, the Member, the National Anti-Doping Organisation and the Anti-Doping Organisation that uncovered the Whereabouts Failure (as applicable), giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with Article 13. On the other hand, if the conclusion is that all of the requirements for recording a Whereabouts Failure are met, it shall notify the Athlete and shall record the notified Whereabouts Failure against him.
- 8.4 The IAAF shall report a decision to record a Whereabouts Failure against an Athlete to WADA and all other relevant Anti-Doping Organisations, on a confidential basis, via ADAMS or other system approved by WADA.
- 8.5 Where three Whereabouts Failures are recorded against an Athlete within any 12-month period, the IAAF shall bring proceedings against the Athlete alleging violation of Article 2.4. If the IAAF fails to bring such proceedings against an Athlete within 30 days of WADA receiving notice of the recording of that Athlete's third Whereabouts Failure in any 12-month period, then the IAAF shall be deemed to have decided that no Anti-Doping Rule Violation was committed, for purposes of triggering the appeal rights set out at Article 13.
- 8.6 An Athlete alleged to have committed an Article 2.4 Anti-Doping Rule Violation shall have the right to have such allegation determined at a full evidentiary hearing in accordance with Article 8. The hearing panel shall not be bound by any determination made during the results management process, whether as to the adequacy of any explanation offered for a Whereabouts Failure or otherwise. Instead, the burden shall be on the IAAF to establish all of the requisite elements of each alleged Whereabouts Failure to the comfortable satisfaction of the hearing panel. If the hearing panel decides that one (or two) Whereabouts Failure(s) have been established to the required standard, but that the other alleged Whereabouts Failure(s) has/have not, then no Article 2.4 Anti-Doping Rule Violation shall be found to have occurred. However, if the Athlete then commits one (or two, as applicable) further Whereabouts Failure(s) within the relevant 12-month period, new proceedings may be brought based on a combination of the Whereabouts Failure(s) established to the satisfaction of the hearing panel in the previous proceedings and the Whereabouts Failure(s) subsequently committed by the Athlete.

- 8.7 A finding that an Athlete has committed an Article 2.4 Anti-Doping Rule Violation has the following Consequences: (a) imposition of a period of Ineligibility in accordance with Article 10.3.2 (first violation) or Article 10.7 (subsequent violation(s)); and (b) in accordance with Article 10.8, Disqualification (unless fairness requires otherwise) of all individual results obtained by the Athlete from the date of the Article 2.4 Anti-Doping Rule Violation through to the date of commencement of any Provisional Suspension or Ineligibility period, with all of the resulting Consequences, including forfeiture of any titles, awards, medals, points and prize and appearance money. For these purposes, the Anti-Doping Rule Violation shall be deemed to have occurred on the date of the third Whereabouts Failure found by the hearing panel to have occurred. The impact of any Article 2.4 Anti-Doping Rule Violation by an individual Athlete on the results of any team for which that Athlete has competed during the relevant period shall be determined in accordance with Article 11.

#### Results Management of Athlete Biological Passport programme

- 8.8 The results management processes for the Athlete Biological Passport Programme shall be administered and managed by an Athlete Passport Management Unit (APMU) on behalf of the IAAF.
- 8.9 The APMU will review longitudinal profiles with a view to making Target Testing recommendations to the IAAF or referring a profile to a single Expert or the Expert Panel, as appropriate. Management and communication of the biological data, APMU reporting and Expert reviews should wherever possible be conducted in ADAMS and be shared by the IAAF as Passport Custodian with other ADO(s) with Testing jurisdiction over the Athlete in order to co-ordinate further Passport Testing as appropriate. A key element for ABP management and communication is the APMU Report in ADAMS which provides an overview of the current status of the Athlete's Passport including the latest targeting recommendations and a summary of the Expert reviews.
- 8.10 The review process is conducted as follows:
- a) The review begins with the application of the Adaptive Model.
  - b) In case of an Atypical Passport Finding (ATPF) or when the APMU considers that a review is otherwise justified, an Expert conducts an initial review and returns an evaluation based on the information available at that time.
  - c) In case of a "Likely doping" initial review, the Passport is then subjected to a review by three Experts including the Expert who conducted the initial review.
  - d) In case of a "Likely doping" consensus of the three Experts, the process continues with the creation of an ABP Documentation Package.
  - e) An Adverse Passport Finding (APF) is reported by the APMU to the IAAF if the Experts opinion is maintained after review of all information available at that stage, including the ABP Documentation Package.
  - f) The Athlete is notified of the Adverse Passport Finding (APF) and offered the opportunity to provide explanations.
  - g) If after review of the explanations provided by the Athlete, the Experts maintain their unanimous conclusion that it is highly likely that the Athlete used a Prohibited Substance or a Prohibited Method, an Anti-Doping Rule Violation (ADRV) is asserted against the Athlete by the IAAF and disciplinary proceedings are initiated.

### Application of the Adaptive Model

- 8.11 The biological Markers of the ABP are automatically processed in ADAMS by the Adaptive Model. The Adaptive Model predicts for an individual an expected range within which a series of Marker values falls assuming a normal physiological condition. Outliers correspond to those values outside of the 99%-range, from a lower limit corresponding to the 0.5<sup>th</sup> percentile to an upper limit corresponding to the 99.5<sup>th</sup> percentile (1:100 chance or less that this result is due to normal physiological variation). A specificity of 99% is used to identify both haematological and steroidal ATPFs. In the case of sequence deviations (sequence ATPFs), the applied range is 99.9% (1:1000 chance or less that this is due to normal physiological variation).
- 8.12 An ATPF is a result generated by the Adaptive Model in ADAMS which identifies either a Marker(s) value(s) as being outside the Athlete's intra-individual range or a longitudinal profile of Marker values (sequence deviations) as being outside expected ranges, assuming a normal physiological condition. An ATPF requires further attention and review.
- 8.13 The APMU may also submit a Passport to the Expert when there is no ATPF (see 8.26 below).

### ATPF – Haematological Module

- 8.14 For the Haematological Module, an ATPF is generated when the haemoglobin concentration (HGB) and/or stimulation index OFF-score (OFFS) value of the last test falls outside the expected intra-individual ranges. Furthermore, the longitudinal profile composed of (up to) the last 20 valid HGB and/or OFFS values is also considered as an ATPF when deviating from the expected ranges, as determined by the Adaptive Model (sequence ATPF). An ATPF is only generated by the Adaptive Model based on values of the primary Markers, HGB and OFFS or the sequence thereof.

### ATPF – Steroidal Module

- 8.15 For the Steroidal Module, an ATPF is generated when at least one value of the ratios T/E, A/T, A/Etio, 5aAdiol/5bAdiol or 5aAdiol/E falls outside the expected intra-individual ranges. In addition, the "longitudinal steroid profile" composed of (up to) the last 20 valid values of one of these five ratios is also considered as atypical when deviating from the expected ranges, as determined by the Adaptive Model (sequence ATPF).
- 8.16 In the case of a "longitudinal steroidal profile," an ATPF caused by an atypically high T/E value will trigger an ATPF Confirmation Procedure Request notification through ADAMS as established in the TDEAAS. When the Adaptive Model determines an ATPF for any of the other ratios of the "steroid profile" (A/T, A/Etio, 5aAdiol/5βAdiol, 5aAdiol/E), the APMU should advise the Testing Authority in the APMU Report, or via the Passport Custodian where appropriate, on whether the Sample should be subjected to a Confirmation Procedure.
- 8.17 Ratios coming from a Sample that showed signs of heavy microbial degradation, and ratios for which one or both of the concentrations were not measured accurately by the Laboratory as established in the TDEAAS, shall not be processed by the Adaptive Model. In the case where the Laboratory reports a factor that may otherwise cause an alteration in the steroid profile, such as the presence of ethanol glucuronide in the Sample, the APMU shall evaluate whether the steroid profile can still be processed by the Adaptive Model and the Sample be subjected to a Confirmation Procedure.

### Departure from the ABP requirements

- 8.18 If there is a departure from the ABP requirements for Sample collection, transport and analysis, the biological result obtained from this Sample affected by the non-confirmity shall not be

considered in the Adaptive Model calculations (for example, reticulocytes are affected but not haemoglobin).

- 8.19 The part of the result which is not affected by the non-conformity can still be considered in the Adaptive Model calculations. In such case, the APMU shall provide the specific explanations supporting the inclusion of the results. In all cases, the Sample shall remain recorded in the Athlete's Passport. The Experts may include all results in their review provided that their conclusions may be validly supported in the context of the non-conformity.

#### The Initial Expert Review

- 8.20 A Passport generating an ATPF, or for which a review is otherwise justified, shall be sent by the APMU to an Expert for anonymous review in ADAMS. This should take place no later than 7 working days following the generation of the ATPF in ADAMS. The review of the Passport shall be conducted anonymously (without reference to the specific Athlete by name) based on the profile and other basic information (e.g. competition schedules), which could be already available. The Experts shall be external to the APMU and to the ADO, except in the case described in 8.25 for the Steroidal Module.

#### Review – Haematological Module

- 8.21 If the Haematological Module generates an ATPF or if such review is otherwise requested by the APMU, then the results/profile must be reviewed by an Expert designated by the APMU.

#### Review - Steroidal Module

- 8.22 If a result rendered by a Laboratory represents an ATPF caused by an atypically high T/E value, the Sample will undergo a Confirmation Procedure, including GC-C-IRMS analysis. If the result of the GC-C-IRMS Confirmation Procedure is negative or inconclusive then the APMU shall seek an Expert review. An APMU or Expert review is not required when the GC-C-IRMS Confirmation Procedure renders an Adverse Analytical Finding (AAF).
- 8.23 If the first and unique result in a Passport is identified as atypical by the Adaptive Model (with a negative or inconclusive IRMS result, if applicable), the APMU may recommend the collection of an additional Sample before initiating the initial Expert review.
- 8.24 If the result represents an ATPF for any of the ratios A/T, A/Etio, 5 $\alpha$ Adiol/5 $\beta$ Adiol, 5 $\alpha$ Adiol/E, the APMU should evaluate the Passports and provide an APMU report in ADAMS.
- 8.25 When the APMU is associated to a Laboratory, it can replace the first external Expert and provide a review through the APMU Report in ADAMS.

#### Review in the absence of an ATPF

- 8.26 For both Modules, a Passport may also be sent for Expert review in the absence of an ATPF where the Passport includes other elements otherwise justifying a review. These elements may include, without limitation:
- a) Data not considered in the Adaptive Model
  - b) Any abnormal levels and/or variations of Markers
  - c) Signs of hemodilution in the haematological Passport
  - d) Steroid levels in urine below the corresponding limit of quantification (LOQ) of the assay
  - e) Intelligence in relation to the Athlete concerned.

8.27 An Expert review initiated in the above-mentioned situations may result in the same consequences as an Expert review triggered by an ATPF.

Consequences of the Initial Review

8.28 Depending on the outcome of the initial review, the APMU will take the following action:

<u>Expert Evaluation</u>	<u>APMU Action</u>
<b>Normal:</b> Likely physiological condition	Continue normal Testing pattern.
<b>Passport suspicious:</b> Further data is required.	Alert the IAAF to do Target Testing and provide recommendations.
<b>Likely doping:</b> Considering the information within the Athlete’s Passport, it is likely that the Passport is the result the Use of a Prohibited Substance or Prohibited Method and it is highly unlikely that it may be the result of a normal physiological or pathological condition.	Send to a panel of three Experts, including the initial Expert, as per 8.29 below.
<b>Likely medical condition:</b> Considering the information within the Passport, it is likely that the Passport is the result of a pathological condition	Inform the Athlete via the IAAF (or send to other Experts).

Review by Three Experts

8.29 In the event that the evaluation by the appointed Expert in the initial review supports the proposition that the profile, pending other explanation to be provided at a later stage, is likely to be the result the Use of a Prohibited Substance or Prohibited Method and highly unlikely to be the result of a normal physiological or a pathological condition, the Passport shall then be sent for review by the APMU to a group of three Experts, referred to as the Expert Panel, composed of the Expert appointed in the initial review and two other Experts. This should take place no later than 7 working days after the reporting of the initial review.

8.30 For the review of a Haematological Passport, the Expert Panel should have knowledge in the fields of clinical haematology, sport medicine and/or exercise physiology.

8.31 For the review of the Steroidal Passport, the Expert Panel should be composed of individuals with knowledge in the fields of Laboratory steroid analysis, steroid doping and metabolism and/or clinical endocrinology. In the case of the Steroidal Module, where the first Expert may be from the APMU, the two other Experts must be external to the APMU.

8.32 The review by the three Experts must follow the same logic as for the initial Expert review. The three Experts shall each provide their reports in ADAMS. This should take place no later than 7 working days after reception of the request.

8.33 The APMU is responsible for liaising with the Experts and for advising the IAAF of the subsequent Expert assessment. If more information is required to review the file, the Experts can request further details, such as those related to medical issues, competition schedule and/or Sample(s) analysis details. Such requests are directed via the APMU to the IAAF.

8.34 A unanimous opinion among the three Experts is necessary in order to proceed further towards declaring an APF, which means that all three Experts come to the conclusion that considering the available information contained within the Passport at this stage, it is likely that a Prohibited

Substance or Prohibited Method had been used, and highly unlikely that the biological profile is the result of any other cause. The conclusion of the Experts must be reached with the three Experts assessing the Athlete's Passport with the same data (i.e three Expert opinions cannot be accumulated over time, as data is added to a profile).

- 8.35 In the case when two Experts evaluate the Passport as "Likely doping" and the third Expert as "Suspicious" but asking for more information, the APMU can confer with the Expert Panel before they finalize their opinion. The group can also seek advice from an appropriate outside Expert, although this must be done with strict confidentiality.
- 8.36 To reach a conclusion in the absence of an ATPF, the Expert Panel shall come to the unanimous opinion that it is highly likely that the Passport is the result of the Use of a Prohibited Substance or Method and that there is no reasonably conceivable hypothesis under which the Passport might be the result of a physiological condition and highly unlikely that it is the result of pathological condition.
- 8.37 If no unanimity can be reached among the three Experts, the APMU should follow up on requests for additional information or expertise, or recommend the IAAF to pursue additional Testing and/or gather intelligence on the Athlete.

#### Compilation of the ABP Documentation Package and Joint Expert Evaluation

- 8.38 If the evaluation by the Expert Panel supports the proposition that the Athlete has likely used a Prohibited Substance or Prohibited Method, and that the result is highly unlikely due to any another cause, the APMU shall declare a "Likely doping" evaluation in the APMU Report in ADAMS and proceed with the compilation of the ABP Documentation Package. The APMU may confer with the Expert Panel to determine the scope of such compilation, including the recommended elements and the number of tests that need to be included.
- 8.39 The following key information needs to be included in both Haematological and Steroidal Modules of the ABP Documentation Package:
- a) Age of the Athlete.
  - b) Gender of the Athlete.
  - c) Sport and discipline.
  - d) Type of test (in competition or out of competition).
  - e) Date of test.
  - f) Sample code number.
  - g) Internal Laboratory (or WADA-Approved Laboratory for the ABP) Sample number.
  - h) Biological data and results obtained by the Adaptive Model.
  - i) Competition information.
  - j) Chain of Custody documentation.
  - k) Information from the Doping Control forms for each Sample collected during the period, as determined by the APMU and Expert Panel.
- 8.40 For the Haematological Module, the following additional information is required:
- a) Information on possible exposure of the Athlete to altitude, or altitude simulating devices, for the period defined by the Expert Panel.
  - b) Temperature profile during the transportation of the blood Sample and the Blood Stability Score (BSS).
  - c) Laboratory (or WADA-Approved Laboratory for the ABP) documentation, including blood results, scattergrams, and internal and external quality controls.

- d) Information on whether the Athlete received a blood transfusion and/or suffered significant blood loss in the prior three months.
- 8.41 For the Steroidal Module, this additional information is required:
- a) pH of the urine Sample.
  - b) Specific gravity of the urine Sample.
  - c) Laboratory documentation, including screening and confirmed (when applicable) values of steroid concentrations and ratios.
  - d) GC-C-IRMS results, when applicable.
  - e) Indication of ethanol consumption: urinary concentrations of ethanol and/or ethanol Metabolites.
  - f) Indication of bacterial activities, including 5 $\alpha$ -androstane/A and/or 5 $\beta$ -androstane/Etio ratio.
  - g) Indication of medications taken (declared or detected) that may influence the “steroid profile”, such as human chorionic gonadotrophin (hCG), ketoconazole, and 5 $\alpha$ -reductase inhibitors.
- 8.42 The ABP Documentation Package shall be sent by the APMU to the Expert Panel, which will review it and provide a joint evaluation to be signed by all three Experts and included in the ABP Documentation Package. If necessary, the Expert Panel may request complementary information from the APMU.
- 8.43 At this stage, the identity of the Athlete is not mentioned but it is accepted that specific information provided may allow to identify the Athlete. This shall not affect the validity of the process.

#### Issuing an Adverse Passport Finding (APF)

- 8.44 If the Expert Panel confirms their previous position, considering the information within the Passport at this stage, that it is likely that a Prohibited Substance or Prohibited Method had been used, and highly unlikely that it is the result of any other cause, the APMU will issue an Adverse Passport Finding (APF).
- 8.45 The APF represents the end result of the Expert review of the longitudinal profile of Markers and other Passport information.
- 8.46 After reviewing the ABP Documentation Package, the IAAF shall:
- a) Notify the Athlete of the APF and inform WADA that the IAAF is considering the assertion of an Anti-Doping Rule Violation (ADRV) against the Athlete.
  - b) Provide the Athlete and WADA the ABP Documentation Package.
  - c) Invite the Athlete to provide his/her own explanation, in a timely manner, of the data provided to the IAAF.

#### Review of Explanation from Athlete

- 8.47 Upon receipt of any explanation and supporting information from the Athlete which should be received within the specified deadline, the APMU shall forward it to the Expert Panel for review with any additional information that the Expert Panel considers necessary to render its opinion in coordination with both the ADO and the APMU. At this stage, the review is no longer anonymous. The Expert Panel shall reassess or reassert the case and reach one of the following conclusions:

- a) unanimous opinion of the Experts that based on the information in the Passport, it is likely that the Athlete used a Prohibited Substance or Prohibited Method, and that it is highly unlikely to find the Passport abnormal assuming any other cause; or
- b) based on the available information, the Experts are unable to reach the unanimous opinion set forth above and, in such a case, the Expert Panel may or may not recommend further investigation or Testing.

#### Disciplinary Proceeding

8.48 If the Expert Panel expresses the opinion set forth in section 8.47a), then the IAAF shall be informed by the APMU and proceed to results management.

#### Passport Re-setting

8.49 In the event the Athlete has been found to have committed an ADRV based on the Passport, the Athlete's Passport shall be reset at the start of the relevant period of suspension and a new Biological Passport ID shall be assigned in ADAMS. This maintains the Athlete's anonymity for potential APMU and Expert Panel reviews conducted in the future.

8.50 When an Athlete is found to have committed an ADRV on any basis other than the ABP, the Haematological and/or Steroidal Passport will remain in effect, except in those cases where the Prohibited Substance or Prohibited Method resulted in an alteration of the haematological or steroidal Markers, respectively (e.g. for AAF reported for anabolic androgenic steroids, hCG, masking agents or diuretics, which may affect the Markers of the "steroid profile," or for the Use of Erythropoiesis-Stimulating Agents or blood transfusions, which would alter the haematological Markers). In such instances, the Athlete's profile(s) would be reset from the time of the beginning of the sanction.

## APPENDICES

- A. Whereabouts Requirements
  
- B. Collection of Urine Samples
  
- C. Collection of Blood Samples (Detection of Prohibited Substances and Methods)
  
- D. Collection of Blood Samples (Athlete Biological Passport)
  
- E. Investigating a Possible Failure to Comply
  
- F. Modifications for Athletes who are Minors

## APPENDIX A

### Athlete Whereabouts requirements

#### 1. Introduction

- 1.1 An Athlete who is in a Registered Testing Pool (whether that of the IAAF or one established at national level) is required:
- (a) to make quarterly Whereabouts Filings that provide accurate and complete information about the Athlete's whereabouts during the forthcoming quarter, including identifying where he will be living, training and competing during that quarter, and to update those Whereabouts Filings where necessary so that he can be located for Testing during that quarter at the times and locations specified in the relevant Whereabouts Filing (see paragraph 3 of this Appendix below). A failure to do so may be declared a Filing Failure for the purposes of Article 2.4.
  - (b) to specify in his Whereabouts Filing, for each day in the forthcoming quarter, one specific 60-minute time slot where he will be available at a specified location for Testing: (see paragraph 4 of this Appendix below). This does not limit in any way the Athlete's obligation under the Rules to be available for Testing at any time and place upon request by an Anti-Doping Organisation with Testing Authority over him. Nor does it limit his obligation to provide the information specified in paragraph 3 of this Appendix as to his whereabouts outside of that 60-minute time slot. However, if the Athlete is not available for Testing at such location during the 60-minute time slot specified for that day in his Whereabouts Filing, that failure may be declared a Missed Test for the purposes of Article 2.4.
- 1.2 Three Whereabouts Failures (which may be any combination of Filing Failures and/or Missed Tests adding up to three in total) by an Athlete within any 12 (twelve) month period amount to an Anti-Doping Rule Violation under Article 2.4, irrespective of which Anti-Doping Organisation(s) have declared the Whereabouts Failures in question. The Whereabouts Failures may be a combination of Filing Failures and/or Missed Tests declared in accordance with Chapter 8.
- 1.3 The 12-month period referred to in Article 2.4 and paragraph 1.2 above starts to run on the date that an Athlete commits the first Whereabouts Failure being relied upon in support of the allegation of a violation of Article 2.4. If two more Whereabouts Failures occur during the ensuing 12-month period, then an Anti-Doping Rule Violation under Article 2.4 is committed irrespective of any Samples successfully collected from the Athlete during that 12-month period. However, if an Athlete who has committed one Whereabouts Failure does not go on to commit a further two Whereabouts Failures within 12 months of the first, at the end of that 12-month period, the first Whereabouts Failure "expires" for the purposes of Article 2.4 and a new 12-month period begins to run from the date of his next Whereabouts Failure.

#### 2. Entering and Leaving a Registered Testing Pool

- 2.1 The IAAF shall notify each Athlete designated for inclusion in its Registered Testing Pool of the following:
- (a) the fact that he has been included in its Registered Testing Pool with effect from a specified date in the future;

- (b) the whereabouts requirements with which he must therefore comply; and
  - (c) the Consequences if he fails to comply with those whereabouts requirements.
- 2.2 If the Athlete is included in the IAAF's Registered Testing Pool and in his National Anti-Doping Organisation's national Registered Testing Pool (or in the Registered Testing Pool of more than one National Anti-Doping Organisation), then each of them shall notify the Athlete that he is in its pool. Prior to doing so, however, they must agree between themselves which of them the Athlete should provide his Whereabouts Filings to, and each notice sent to the Athlete should specify that he should provide his Whereabouts Filings to that Anti-Doping Organisation only (and it will then share that information with the other, and with any other Anti-Doping Organisations having Testing jurisdiction over the Athlete). An Athlete must not be asked to provide Whereabouts Filings to more than one Anti-Doping Organisation.
- 2.3 The IAAF shall establish a workable system for the collection, maintenance and sharing of Whereabouts Filings, preferably using an online system (capable of recording who enters information and when) or at least fax, email and/or SMS text messaging, to ensure that:
- (a) the information provided by the Athlete is stored safely and securely (in ADAMS or another system approved by WADA);
  - (b) the information can be accessed by (i) authorized individuals acting on behalf of the IAAF on a need-to-know basis only; (ii) WADA; and (iii) other Anti-Doping Organisations with Testing jurisdiction over the Athlete; and
  - (c) the information is maintained in strict confidence at all times, is used exclusively for the purposes set out in Article 5.7.4, and is destroyed in accordance with the International Standard for the Protection of Privacy and Personal Information once it is no longer relevant.
- 2.4 An Athlete who has been included in a Registered Testing Pool shall continue to be subject to these Whereabouts Requirements unless and until:
- (a) he has been given written notice by each Anti-Doping Organisation that put him in its Registered Testing Pool that he is no longer designated for inclusion in its Registered Testing Pool; or
  - (b) he retires from Competition in the sport in question in accordance with the applicable rules and gives written notice to that effect to each Anti-Doping Organisation that put him in its Registered Testing Pool (in the case of the IAAF, in accordance with Article 5.8.1).

### **3. Whereabouts Filing requirements**

- 3.1 On a date specified by the IAAF that is prior to the first day of each quarter (i.e., 1 January, 1 April, 1 July and 1 October), an Athlete in the Registered Testing Pool must file a Whereabouts Filing with the IAAF that contains at least the following information:
- (a) a complete mailing address where correspondence may be sent to the Athlete for formal notice purposes. Any notice or other item mailed to that address will be deemed to have been received by the Athlete five working days after it was deposited in the mail;
  - (b) details of any impairment of the Athlete that may affect the procedure to be followed in conducting a Sample Collection Session;

- (c) specific confirmation of the Athlete's consent to the sharing of his Whereabouts Filing with other Anti-Doping Organisations having Testing authority over him;
  - (d) for each day during the following quarter, the full address of the place where the Athlete will be staying overnight (e.g. home, temporary lodgings, hotel, etc);
  - (e) for each day during the following quarter, the name and address of each location where the Athlete will train, work or conduct any other regular activity (e.g. college), as well as the usual time-frames for such regular activities; and
  - (f) the Athlete's Competition schedule for the following quarter, including the name and address of each location where the Athlete is scheduled to compete during the quarter and the date(s) on which he is scheduled to compete at such location(s).
- 3.2 Subject to paragraph 3.3 below, the Whereabouts Filing must also include, for each day during the following quarter, one specific 60-minute time slot between 5 a.m. and 11 p.m. each day where the Athlete will be available and accessible for Testing at a specific location.
- 3.3 As the sole exception to paragraph 3.2, if (but only if) there are dates in the relevant quarter in which the Athlete is scheduled to compete in a Competition (excluding any Competition organised by a Major Event Organisation), and the Anti-Doping Organisation that put the Athlete into the Registered Testing Pool is satisfied that enough information is available from other sources to find the Athlete for Testing on those dates, then the Anti-Doping Organisation that put the Athlete into the Registered Testing Pool may waive the paragraph 3.2 requirement to specify a 60-minute time-slot in respect of such dates ("In-Competition Dates"). If each of the IAAF and a National Anti-Doping Organisation put the Athlete into its Registered Testing Pool, the IAAF's decision as to whether to waive that requirement in respect of In-Competition Dates will prevail. If the requirement to specify a 60-minute time slot has been waived in respect of In-Competition Dates, and the Athlete has specified in his Whereabouts Filing a series of dates on which he anticipates being In-Competition (and as a result has not specified a 60-minute time slot for those dates), if he is then knocked out of the Competition before the end of those dates, so that the remaining dates are no longer In-Competition Dates, he must update his Whereabouts Filing to provide all the necessary information for those dates, including the 60-minute time slot specified in paragraph 3.2.
- 3.4 It is the Athlete's responsibility to ensure that he provides all of the information required in a Whereabouts Filing accurately and in sufficient detail to enable any Anti-Doping Organisation wishing to do so to locate the Athlete for Testing on any given day in the quarter at the times and locations specified by the Athlete for that day in the Whereabouts Filing, including but not limited to during the 60-minute time slot specified for that day in the Whereabouts Filing. More specifically, when specifying a location in his Whereabouts Filing (whether in his original quarterly filing or in an update), the Athlete must provide sufficient information to enable the DCO to find the location, to gain access to the location and to find the Athlete at the location. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of Sample collection under Article 2.3 and/or Tampering or Attempted Tampering with Doping Control under Article 2.5 . In any event, the IAAF shall consider Target Testing the Athlete.
- 3.5 Where a change in circumstances means that the information in a Whereabouts Filing is no longer accurate or complete as required by paragraph 3.4 above, the Athlete must file an update so that the information on file is again accurate and complete. In particular, the Athlete must always update his Whereabouts Filing to reflect any change in any day in the quarter in question (a) in the time or location of the 60-minute time slot specified in paragraph 3.2 above; and/or (b) in the place where he is staying overnight. The Athlete must file the update as soon as possible after the circumstances change, and in any event prior to the 60-minute time slot specified in his filing for the day in question. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of Sample collection under Article 2.3 , and/or Tampering or

Attempted Tampering with Doping Control under Article 2.5 . In any event, the IAAF shall consider Target Testing of the Athlete.

- 3.6 Any Athlete who provides fraudulent information in his Whereabouts Filing, whether in relation to his location during the specified daily 60-minute time slot, or in relation to his whereabouts outside that time slot, or otherwise, thereby commits an Anti-Doping Rule Violation under Article 2.3 (evading Sample collection) and/or Article 2.5 (Tampering or Attempting to Tamper with Doping Control).
- 3.7 An Athlete may choose to delegate the making of some or all of his Whereabouts Filings required under paragraphs 3.1 and 3.2 above (and/or any updates to his Whereabouts Filings) to a third party, such as a coach, a manager or a National Federation, provided that the third party agrees to such delegation. The Anti-Doping Organisation collecting the Athlete's Whereabouts Filings may require written notice of any agreed delegation to be filed with it, signed by both the Athlete in question and the third party delegate. Any third party Athlete Support Personnel who provides fraudulent information in his Athlete's Whereabouts Filing, whether in relation to his location during the specified daily 60-minute time slot, or in relation to his whereabouts outside that time slot, or otherwise, thereby commits an Anti-Doping Rule Violation under Article 2.3 (evading Sample collection) and/or Article 2.5 (Tampering or Attempting to Tamper with Doping Control).
- 3.8 In all cases, however:
- (a) each Athlete in the Registered Testing Pool remains ultimately responsible at all times for making accurate and complete Whereabouts Filings as required by these Anti-Doping Regulations, whether he makes each filing personally or delegates it to a third party (or a mixture of the two). It shall not be a defence to an allegation of a Filing Failure under Article 2.4 that the Athlete delegated such responsibility to a third party and that third party failed to comply with the applicable requirements; and
  - (b) such Athlete remains personally responsible at all times for ensuring he is available for Testing at the whereabouts declared on his Whereabouts Filings, whether he made that filing personally or delegated it to a third party (or a mixture of the two). It shall not be a defence to an allegation of a Missed Test or Filing Failure under Article 2.4 that the Athlete had delegated responsibility for filing his whereabouts information for the relevant period to a third party and that third party had failed to file the correct information or failed to update previously-filed information so as to ensure that the whereabouts information in the Whereabouts Filing for the day in question was current and accurate.
- 3.9 An Athlete may only be declared to have committed a Filing Failure where the IAAF (or Member or other responsible Anti-Doping Organisation with results management responsibility), following the results management procedure set out in Chapter 8, establishes each of the following:
- (a) that the Athlete was duly notified (i) that he had been designated for inclusion in the Registered Testing Pool, (ii) of the consequent requirement to make Whereabouts Filings; and (iii) of the Consequences of any failure to comply with such requirement;
  - (b) that the Athlete failed to comply with that requirement by the applicable deadline (e.g., (i) where he did not make any such filing or failed to update that filing or update as required (ii) where he made the filing or update but did not include all of the required information in that filing or update; (iii) where he included information in the original filing or update that was inaccurate or insufficient to enable the IAAF to locate him for Testing;
  - (c) in the case of a second or third Filing Failure in the same quarter, that he was given notice of the previous Filing Failure(s) in accordance with paragraph 8.3(c) of Chapter 8 and (if that Filing Failure revealed deficiencies in the Whereabouts Filing that would lead to

further Filing Failures if not rectified) was advised in the notice that in order to avoid a further Filing Failure, he must file the required Whereabouts Filing (or update) by the deadline specified in the notice (which must be no less than 24 hours after receipt of the notice and no later than the end of the month in which the notice is received) and yet failed to rectify that Filing Failure by the deadline specified in that notice; and

- (d) that the Athlete's failure to comply was at least negligent. For these purposes, the Athlete will be presumed to have committed the failure negligently upon proof that he was notified of the requirements yet failed to comply with them. That presumption may only be rebutted by the Athlete establishing that no negligent behaviour on his part caused or contributed to the failure.

#### **4. Availability for Testing**

- 4.1 While Article 5.2.1 specifies that every Athlete may be required to submit to Testing at any time and place upon request by an ADO with Testing Authority over him, in addition, an Athlete in a Registered Testing Pool must specifically be present and available for Testing on any given day in the relevant quarter during the 60-minute time slot specified for that day in his Whereabouts Filing, at the location that the Athlete has specified for that time slot in such filing. A failure to comply with this requirement shall be pursued as an apparent Missed Test. If the Athlete is tested during such a time slot, the Athlete must remain with the DCO until the Sample collection has been completed, even if this takes longer than the 60-minute time slot. A failure to do so shall be pursued as an apparent violation of Article 2.3 (Refusal or Failure to submit to Sample collection).
- 4.2 To ensure fairness to the Athlete, where an unsuccessful attempt has been made to test an Athlete during one of the 60-minute time slots specified in his Whereabouts Filing, any subsequent unsuccessful attempt to test that Athlete (by the IAAF, a Member or another Anti-Doping Organisation) during one of the 60-minute time slots specified in his Whereabouts Filing may only be counted as a Missed Test (or, if the unsuccessful attempt was because the information filed was insufficient to find the Athlete during the time slot, as a Filing Failure) against that Athlete if that subsequent attempt takes place after the Athlete has received notice, in accordance with paragraph 8.3(c) of Chapter 8, of the original unsuccessful attempt.
- 4.3 An Athlete may only be declared to have committed a Missed Test where the IAAF (or Member or other responsible Anti-Doping Organisation with results management authority) can establish each of the following:
  - (a) that when the Athlete was given notice that he had been designated for inclusion in the Registered Testing Pool, he was advised that he would be liable for a Missed Test if he was unavailable for Testing during the 60-minute time slot specified in his Whereabouts Filing at the location specified for that time slot;
  - (b) that a DCO attempted to test the Athlete on a given day in the quarter, during the 60-minute time slot specified in the Athlete's Whereabouts Filing for that day, by visiting the location specified for that time slot;
  - (c) that during that specified 60-minute time slot, the DCO did what was reasonable in the circumstances (i.e. given the nature of the specified location) to try to locate the Athlete, short of giving the Athlete any advance notice of the test;
  - (d) that paragraph 4.2 above does not apply or (if it applies) was complied with; and
  - (e) that the Athlete's failure to be available for Testing at the specified location during the specified 60-minute time slot was at least negligent. For these purposes, the Athlete will be presumed to have been negligent upon proof of the matters set out at sub-paragraphs (a)

to (d) above. That presumption may only be rebutted by the Athlete establishing that no negligent behaviour on his part caused or contributed to his failure (i) to be available for Testing at such location during such time slot; and (ii) to update his most recent Whereabouts Filing to give notice of a different location where he would instead be available for Testing during a specified 60-minute time slot on the relevant day.

## APPENDIX B

### The Collection of Urine Samples

#### 1. Sample Collection procedure

- 1.1 The DCO shall ensure that the Athlete is informed of the requirements of the Sample Collection Session.
- 1.2 The DCO shall ensure that the Athlete is offered a choice of appropriate equipment for collecting the Sample. Sample Collection Equipment for the collection of urine Samples shall consist, at a minimum, of:
  - collection vessels for collecting the Sample as it leaves the Athlete's body
  - sealable and tamper-evident bottles and lids for securing the Sample
  - partial Sample kits
- 1.3 The DCO shall instruct the Athlete to select a collection vessel from a choice of vessels.
- 1.4 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 may select another. If the Athlete is not satisfied with any of the equipment available for selection, this shall be recorded by the DCO. If the DCO does not agree with the Athlete that all of the equipment available for the selection is unsatisfactory, the DCO shall instruct the Athlete to proceed with the Sample Collection Session. If the DCO agrees with the Athlete that all of the equipment available for the selection is unsatisfactory, the DCO shall terminate the Sample Collection Session and this shall be recorded by the DCO.
- 1.5 The Athlete shall retain control of the collection vessel and any Sample provided until the Sample (or partial Sample) is sealed. Assistance may be provided in exceptional circumstances to any Athlete by the Athlete's representative or Sample Collection Personnel during the Sample Collection Session where authorised by the Athlete and agreed to by the DCO.
- 1.6 The DCO/Chaperone who witnesses the passing of the Sample shall be of the same gender as the Athlete providing the Sample.
- 1.7 The DCO/Chaperone should, where practicable, ensure the Athlete thoroughly washes his hands prior to the provision of the Sample or wears suitable (e.g., latex) gloves during provision of the Sample.
- 1.8 The DCO/Chaperone and Athlete shall proceed to an area of privacy to collect the Sample.
- 1.9 The DCO/Chaperone shall take all necessary steps to satisfy himself as to the origin and authenticity of the Sample being collected. The DCO/Chaperone shall ensure an unobstructed view of the Sample leaving the Athlete's body and must continue to observe the Sample after provision until the Sample is securely sealed. In order to ensure a clear and unobstructed view of the passing of the Sample, the DCO/Chaperone shall instruct the Athlete to remove or adjust any clothing which restricts the DCO's/Chaperone's clear view of Sample provision. The DCO/Chaperone shall ensure that all urine passed by the Athlete at the time of provision of the Sample is collected in the collection vessel. If there are any 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 report the refusal and the IAAF shall consider investigating a possible Failure to Comply.

- 1.10 The DCO shall verify, in full view of the Athlete, that the Suitable Volume of Urine for Analysis has been provided (a minimum of 90ml). Where the volume of urine provided by the Athlete is insufficient, the DCO shall follow the partial Sample collection procedure (see Urine Samples - Insufficient Volume at section 2 below).
- 1.11 Once the volume of urine provided by the Athlete is sufficient, the DCO shall instruct the Athlete to select a Sample collection kit containing A and B bottles in accordance with paragraph 1.4 above.
- 1.12 Once a Sample collection kit has been selected, the DCO and the Athlete shall check that all code numbers match and are recorded accurately by the DCO on the Doping Control form. If the Athlete or DCO finds that the numbers are not the same, the DCO shall instruct the Athlete to choose another kit in accordance with paragraph 1.4 above. The DCO shall record the matter.
- 1.13 The Athlete shall pour the minimum Suitable Volume of Urine for Analysis into the B bottle (to a minimum of 30 mL), and then pour the remainder of the urine into the A bottle (to a minimum of 60 mL). The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum. If more than the minimum Suitable Volume of Urine for Analysis has been provided, the DCO shall ensure that the Athlete fills the A bottle to capacity as per the recommendation of the equipment manufacturer. Should there still be urine remaining, the DCO shall ensure that the Athlete fills the B bottle to capacity as per the recommendation of the equipment manufacturer. The DCO shall instruct the Athlete to ensure that a small amount of urine is left in the collection vessel, explaining that this is to enable the DCO to test that residual urine in accordance with paragraph 1.15 below.
- 1.14. The Athlete shall then seal the A and B bottles as directed by the DCO. The DCO shall check, in full view of the Athlete, that the bottles have been properly sealed.
- 1.15 The DCO shall test the residual urine in the collection vessel to determine if the Sample has a Suitable Specific Gravity for Analysis. If the DCO's field reading indicates that the Sample does not have a Suitable Specific Gravity for Analysis, then the DCO shall follow the procedure for Urine Samples that do not meet the requirement for Suitable Specific Gravity for Analysis (see Urine Samples - Samples that do not meet the requirement for Suitable Specific Gravity for Analysis at section 3 below).
- 1.16 Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with paragraph 1.13 and the residual urine has been tested in accordance with paragraph 1.15.
- 1.17 The Athlete shall be given the option of witnessing the discarding of any residual urine that will not be sent for analysis.

## **2. Urine Samples – Insufficient Volume**

- 2.1 If the Sample collected is of insufficient volume (i.e. less than 90ml), the DCO shall inform the Athlete that a further Sample shall be collected to meet the Suitable Volume of Urine for Analysis requirements.
- 2.2 The DCO shall instruct the Athlete to select partial Sample Collection Equipment in accordance with paragraph 1.4 above.

- 2.3 The DCO shall then instruct the Athlete to open the relevant equipment, pour the insufficient Sample into the new container and seal it as directed by the DCO. The DCO shall check, in full view of the Athlete, that the container (or original collection vessel, if applicable) has been properly sealed.
  - 2.4 The DCO and the Athlete shall check that the equipment code number and the volume and identity of the insufficient Sample are recorded accurately by the DCO on the Doping Control form. Either the Athlete or the DCO shall retain control of the sealed partial Sample.
  - 2.5 While waiting to provide an additional Sample, the Athlete shall remain under continuous observation and be given the opportunity to hydrate if necessary.
  - 2.6 When the Athlete is able to provide an additional Sample, the procedures for collection of the Sample shall be repeated as prescribed in section 1 above until a sufficient volume of urine has been provided by combining the initial and additional Sample(s).
  - 2.7 When the DCO is satisfied that the requirements for Suitable Volume of Urine for Analysis have been met, the DCO and Athlete shall check the integrity of the seal(s) on the container(s) containing the previously provided partial Sample(s). Any irregularity with the integrity of the seal(s) will be recorded by the DCO and investigated as a Possible Failure to Comply.
  - 2.8 The DCO shall then direct the Athlete to break the seal(s) and combine the Samples, ensuring that additional Samples are added in the order they were collected to the original partial Sample until, as a minimum, the requirement for Suitable Volume of Urine for Analysis is met.
  - 2.9 The DCO shall check the residual urine in accordance with paragraph 1.15 above to ensure that it meets the requirement for Suitable Specific Gravity for Analysis.
  - 2.10 Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with paragraph 1.13 and the residual urine has been checked in accordance with paragraph 1.15. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum.
  - 2.11 The Athlete shall be given the option of witnessing the discarding of any residual urine that will not be sent for analysis.
- 3. Urine Samples - Samples that do not meet the required specific gravity**
- 3.1 The DCO shall determine that the requirements for Suitable Specific Gravity for Analysis have not been met (i.e., the Sample has a specific gravity measured at lower than 1.005 with a refractometer or lower than 1.010 with a lab stick).
  - 3.2 The DCO shall inform the Athlete that he is required to provide a further Sample.
  - 3.3 While waiting to provide a further Sample, the Athlete shall remain under continuous observation.
  - 3.4 The Athlete shall be advised not to hydrate excessively, since this may delay the production of a suitable Sample. In appropriate circumstances, excessive hydration may be pursued as a violation of Article 2.5 (Tampering or Attempted Tampering with any part of Doping Control).
  - 3.5 When the Athlete is able to provide an additional Sample, the DCO shall repeat the procedures for Sample collection set out in section 1 above.

- 3.6 The DCO should continue to collect additional Samples until the requirement for Suitable Specific Gravity for Analysis is met, or until the DCO determines that there are exceptional circumstances which mean that for logistical reasons it is impossible to continue with the Sample Collection Session. Such exceptional circumstances shall be documented accordingly by the DCO.
- 3.7 The DCO shall record that the Samples collected belong to a single Athlete and the order in which the Samples were provided.
- 3.8 The DCO shall then continue with the Sample Collection Session in accordance with paragraph 1.15.
- 3.9 If it is determined that none of the Samples collected from the Athlete meets the requirement for Suitable Specific Gravity for Analysis and the DCO determines that for logistical reasons it is impossible to continue with the Sample Collection Session, the DCO may end the Sample Collection Session.
- 3.10 The DCO shall send to the Laboratory for analysis all Samples which were collected, irrespective of whether or not they meet the requirement for Suitable Specific Gravity for Analysis.
- 3.11 When two Samples are collected from an Athlete, during the same Sample Collection Session, both Samples shall be analyzed by the Laboratory. In cases where three or more Samples are collected during the same Sample Collection Session, the Laboratory shall prioritize and analyze the first and last Samples collected. The Laboratory, in conjunction with the Testing Authority, may determine if the other Samples need to be analysed.

## APPENDIX C

### Collection of Blood Samples (Detection of Prohibited Substances and Methods)

- 1.1 When Testing is for the detection of Prohibited Substances and Prohibited Methods, Blood Sample Collection Equipment consists of an A and B sample collection tube. The type of Vacutainer® and the volume of blood to be collected differs depending on the type of analysis required (and whether blood and serum is being collected at the same time):
- (a) **Whole Blood or Plasma:** for the analysis of Prohibited Substances and Methods in whole blood (e.g. detection of blood transfusion) or in plasma (e.g. HBOCs and ESAs):
- Number of Samples: 2 (A Sample and B Sample)
  - Volume required: 2 x 3mL (or as specified by relevant Laboratory)
  - BD Vacutainer®: K2EDTA (K2) CE cat no 368856/ref US 367856 (or equivalent validated prior to use). If the kit only contains one Vacutainer, and an A and a B sample is required, 2 kits are needed.
- (b) **Serum:** for the analysis of Prohibited Substances and Methods in serum (e.g. detection of GH, HBOCs and ESAs):
- Number of Samples: 2 (A Sample and B Sample)
  - Volume required: 2 x 5mL (or as specified by relevant Laboratory)
  - BD Vacutainer®: SST II, EU ref 367955 (or equivalent). If the kit only contains one Vacutainer, and an A and a B sample is required, 2 kits are needed
  - Blood is drawn into a tube that has an inert polymeric serum separator gel and a clotting activation factor.
- 1.2 At the start of the Sample Collection Session, the DCO/BCO/other responsible official shall ensure that the Athlete is properly notified of the requirements of the Sample collection. The DCO/BCO/other responsible official shall ask the Athlete whether he has been tested before and whether he requires an explanation of the blood Sample collection procedure.
- 1.3 No blood Sample shall be collected from an Athlete unless the Athlete has consented to blood Testing. If an Athlete refuses to give his consent, a blood Sample shall not be taken from him. Such a failure shall however be regarded as a possible Failure to Comply and an investigation may be initiated in accordance with Appendix E. In the event of a possible Failure to Comply, the Athlete may nevertheless be required to provide a urine Sample which shall be analysed for the full range of Prohibited Substances, including erythropoiesis-stimulating agents and their releasing factors. The urine Sample shall be collected in accordance with Appendix B of these Anti-Doping Regulations.
- 1.4 If a blood Sample is to be analysed for the presence of exogenous Growth Hormone (or its Markers), it should not be collected from an Athlete within 2 hours of any physical exertion (training or Competition). Test planning shall consider the Athlete's whereabouts information to ensure Testing does not occur within two hours of such activity. If the Athlete has trained or competed less than two hours before the time the Athlete has been notified of his selection, the DCO, BCO or other Sample Collection Personnel shall chaperone the Athlete until this two-hour

period has elapsed. If for some reason, the Sample is taken within two hours of training or Competition, the nature, duration and intensity of the exertion shall be recorded by the DCO/BCO and the information provided to the IAAF. If the Testing Authority is not the IAAF, the Testing Authority shall provide the information to the IAAF.

- 1.5 The DCO/BCO and the Athlete shall proceed to the area where the Sample will be provided. The BCO shall provide the Athlete upon request with evidence of his qualification before the blood Sample collection takes place.
- 1.6 The DCO/BCO shall ensure the Athlete is offered comfortable conditions and shall instruct the Athlete to remain in a normal seated position with feet on the floor for at least 10 minutes prior to providing the Sample.
- 1.7 The DCO/BCO 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. It is recommended to provide the Athlete with at least 3 kits from which to select. If the Athlete or DCO/BCO is not satisfied with a selected kit, the Athlete may select another. If the Athlete is not satisfied with any kits and no others are available, this shall be recorded by the DCO/BCO. If the DCO/BCO does not agree with the Athlete that all of the available kits are unsatisfactory, the DCO/BCO shall instruct the Athlete to proceed with the Sample Collection Session. If the DCO/BCO agrees with the Athlete that all available kits are unsatisfactory, the DCO/BCO shall terminate the Sample Collection Session and this shall be recorded by the DCO/BCO.
- 1.8 When a Sample collection kit has been selected, the DCO/BCO and the Athlete shall check that all code numbers match (if pre-labelled) and that the number is recorded accurately by the DCO/BCO on the Doping Control form. If the Athlete or DCO/BCO finds that the numbers are not the same, the DCO/BCO shall instruct the Athlete to choose another kit and the DCO/BCO shall record the matter. If the code numbers are not pre-labelled, the DCO/BCO shall label the collection tubes with a unique Sample code number and the Athlete shall check that the number is recorded accurately by the DCO/BCO on the Doping Control Form.
- 1.9 The BCO shall assess the most suitable location for venepuncture.
- 1.10 The BCO shall clean the skin with a sterile disinfectant wipe or swab in a location unlikely to adversely affect the Athlete or his performance and, if required, apply a tourniquet. The BCO shall take the blood Sample from a superficial vein into the tube. The tourniquet, if applied, shall be immediately removed after the venepuncture has been made.
- 1.11 The amount of blood removed shall be adequate to satisfy the relevant analytical requirements for the Sample analysis to be performed.
- 1.12 If the amount of blood that can be removed from the Athlete at the first attempt is insufficient, the BCO shall repeat the procedure up to a maximum of three attempts in total. Should all three attempts fail to produce a sufficient amount of blood, then the BCO shall inform the DCO. The DCO shall terminate the Sample Collection Session and record the reasons for termination.
- 1.13 The BCO shall apply a dressing to the puncture site(s).
- 1.14 The BCO shall dispose of used blood sampling equipment not required to complete the Sample Collection Session in accordance with the required local standards for handling blood.
- 1.15 If the Sample requires further on-site processing, the Athlete shall be asked to remain to observe the Sample until final sealing in secure, tamper-evident kit. If the Athlete declines to do so, however, it in no way invalidates the test:

- (a) **Whole Blood or Plasma:** the 2 x 3 ml blood Samples (comprising the A and the B Sample) should be inverted gently 8 to 10 times to mix the blood with the anti-coagulant contained in the tube in order to avoid clot formation. This step should be taken as soon as possible.
  - (b) **Serum:** the 2 x 5 ml blood Samples (comprising the A and B Sample) should be inverted gently to initiate clotting and remain at room temperature for the time recommended by the manufacturer.
- 1.16 The Athlete shall seal his Sample into the Sample collection kit as directed by the BCO/DCO. In full view of the Athlete, the BCO/DCO shall check that the sealing is satisfactory.
- 1.17 The Athlete and the BCO/DCO shall sign the Doping Control form by which the Athlete confirms that the blood Sample has been collected in accordance with the strict terms of this protocol.
- 1.18 The DCO/BCO is responsible for Sample storage and should ensure that each blood Sample collected is stored in a manner that protects its integrity, identity and security prior to transport from the blood Doping Control Station to the Laboratory that will be analysing the Sample.
- 1.19 The blood Sample should be stored in a cooled state, preferably in a refrigerator or cool box. Temperature should preferably be maintained between 2 - 12° C. Whole blood Samples must not be allowed to freeze.
- 1.20 In choosing the storage device, the DCO/BCO should take into account the time of storage, the number of Samples to be stored in the device and the prevailing environmental conditions (hot or cold temperatures).
- 1.21 If storage conditions do not meet the recommended guidelines for temperature, the DCO/BCO shall document this and contact the Sample Collection Authority immediately informing it of the variation in temperature and the length of time the Sample was affected. If the temperature deviates outside the recommended 2-12° C for a period of time likely to affect the composition of a blood Sample, the IAAF and Laboratory shall determine if the Sample analysis should proceed.
- 1.22 The storage device shall be located in the blood Doping Control Station and shall be kept secured appropriately.
- 1.23 The DCO/BCO is responsible for Sample transport and should ensure that the Samples are transported in accordance with the requirements of this protocol and any additional instructions from the IAAF.
- 1.24 The blood Samples shall be transported by secure means using an IAAF-authorized transport method and in a manner that protects their integrity, identity and security. The IAAF may discuss specific transportation requirements for particular missions with the Laboratory that will be analysing the Samples (e.g., where the Sample has been collected in less than hygienic conditions or where delays may occur in transporting the Samples to the Laboratory).
- 1.25 Blood Samples should be transported in a device that maintains the integrity of the Samples and minimizes the potential for Sample degradation due to factors such as time delays and extreme temperature variations. In choosing the transport device, the DCO/BCO shall take into account the time of transport, the number of Samples to be transported in the device and the prevailing environmental conditions (hot or cold temperatures). Samples should remain upright during transport, whenever possible.
- 1.26 The blood Samples shall be transported to the Laboratory in a refrigerated state. No Sample should be allowed to freeze and should ideally be kept at a temperature of approximately 4 degrees.

Temperature should preferably be maintained between 2-12° C. A temperature data logger should be used to record the temperature of the Sample during transport. In addition to capturing the temperature during transport, the temperature data logger should be used to assess the time from Sample collection to the time received by the Laboratory ('turnaround time'). All time should be recorded in GMT to address any potential time zone conflicts.

- 1.27 Blood Samples are to be dispatched as soon as possible after collection, ideally, where practical, arriving at the Laboratory on the same day.
- 1.28 Blood Samples shall be analysed in accordance with the following times:
  - (a) if the Sample is intended for GH analysis with the Differential Immunoassays (Isoforms) method, the Sample shall be analyzed within 96 hours from collection;
  - (b) if the Sample is intended for GH analysis with the Biomarkers method, the Sample shall be analyzed within 120 hours from collection;
  - (c) if the Sample is intended for ESAs, HBOCs or Blood transfusions analysis, the Sample shall be analyzed within 72 hours from collection.

## APPENDIX D

### Collection of Blood Samples (Athlete Biological Passport)

- 1.1 When Testing is for the Athlete Biological Passport Programme (Haematological module) only, use of a single EDTA tube is sufficient. The type of Vacutainer® and the volume of blood to be collected is as follows:
  - Number of Samples: 1 (no B Sample required)
  - Volume required: 1 x 3 mL (or as specified by relevant Laboratory)
  - BD Vacutainer®: EDTA, CE cat no. 368856 (or equivalent).
- 1.2 It is recommended however whenever Testing blood Samples for ABP purposes to collect two (2) or more EDTA tubes (x 3ml) to allow for simultaneous Testing for the detection of Prohibited Substances or Methods e.g., in cases of abnormal results for the blood variables included in the ABP. Conducting multiple types of analyses requires careful consideration, including regarding the Blood Sample Collection Equipment required, and it is recommended in such cases to refer to the IAAF and, where necessary, the analysing Laboratory for guidance prior to the Sample Collection Session.
- 1.3 At the start of the Sample Collection Session, the DCO/BCO/other responsible official shall ensure that the Athlete is properly notified of the requirements of the Sample collection. The DCO/BCO/other responsible official shall ask the Athlete whether he has been tested before and whether he requires an explanation of the blood Sample collection procedure.
- 1.4 No blood Sample shall be taken from an Athlete unless the Athlete has consented to blood Testing. If an Athlete refuses to give his consent, a blood Sample shall not be taken from him. Such a failure shall however be regarded as a possible Failure to Comply and an investigation may be initiated in accordance with [Appendix E](#). In the event of a possible Failure to Comply, the Athlete may nevertheless be required to provide a urine Sample which shall be analysed for the full range of Prohibited Substances, including erythropoiesis-stimulating agents and their releasing factors. The urine Sample shall be collected in accordance with [Appendix B](#) of these Anti-Doping Regulations.
- 1.5 If collection occurs after training or Competition, Test planning shall consider the Athlete's whereabouts information to ensure Testing does not occur within two hours of such activity. If the Athlete has trained or competed less than two hours before the time the Athlete has been notified of his selection, the DCO, BCO or other Sample Collection Personnel shall chaperone the Athlete until this two-hour period has elapsed. If for some reason, the Sample was taken within two hours of training or Competition, the nature, duration and intensity of the exertion shall be recorded by the DCO to make this information available to the APMU and subsequently to Experts.
- 1.6 The DCO/BCO and the Athlete shall proceed to the area where the Sample will be provided. The BCO shall provide the Athlete upon request with evidence of his qualification before the blood Sample collection takes place.
- 1.7 A temperature data logger shall be used to record the temperature from the collection to the analysis of the Sample except when the Sample is analyzed at the collection site without delay. The temperature data logger shall be able to:
  - a) record the temperature in degrees Celsius at least once per minute;

- b) record time in GMT;
  - c) report the temperature profile over time in text format with one line per measurement following the format “YYYY-MM-DD HH:MM T”;
  - d) have a unique ID of at least six characters.
- 1.8 The DCO/BCO shall start the temperature data logger and place it in the storage device. It is important to start recording the temperature before Sample collection. The storage device shall be located in Doping Control Station and shall be kept appropriately secured.
- 1.9 The DCO/BCO shall ask the Athlete to remain in a normal seated position with feet on the floor for at least 10 minutes prior to providing a blood Sample. The Athlete shall not stand up at any time during the 10 minutes prior to Sample Collection.
- 1.10 The DCO/BCO shall use the Doping Control form specific to the ABP, if such a form is available. If an ABP-specific Doping Control form is unavailable, the DCO/BCO shall use a regular Doping Control form but shall collect and record the following additional information on a related form or supplementary report to be signed by the Athlete and the DCO/BCO:
- o Confirm that there was no training or Competition in two hours prior to the blood Sample collection.
  - o Did the Athlete train, compete or reside at an altitude greater than 1,500 meters within the prior two weeks? If so, or if in doubt, the name and location of the place where the Athlete had been and the duration of his/her stay shall be recorded. The estimated altitude shall be entered, if known.
  - o Did the Athlete use any form of altitude simulation such as a hypoxic tent, mask, etc. during the prior two weeks? If so, as much information as possible on the type of device and the manner in which it was used (e.g. frequency, duration, intensity) should be recorded.
  - o Did the Athlete receive any blood transfusion(s) during the prior three months? Was there any blood loss due to accident, pathology or donation in the prior three months? What was the estimated volume?
  - o The DCO/BCO should record in the Doping Control form any extreme environmental conditions the Athlete was exposed to during the last two hours prior to blood collection, including any sessions in any artificial heat environment, such as a sauna
  - o Was the Sample collected immediately following at least three consecutive days of an intensive endurance Competition?
- 1.11 After the required rest period, the DCO/BCO shall direct 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. It is recommended to provide the Athlete with at least 3 kits from which to select. If the Athlete or DCO/BCO is not satisfied with a selected kit, the Athlete may select another. If the Athlete is not satisfied with any kits and no others are available, this shall be recorded by the DCO/BCO. If the DCO/BCO does not agree with the Athlete that all of the available kits are unsatisfactory, the DCO/BCO shall instruct the Athlete to proceed with the Sample Collection Session. If the DCO/BCO agrees with the Athlete that all available kits are unsatisfactory, the DCO/BCO shall terminate the Sample Collection Session and this shall be recorded by the DCO/BCO.
- 1.12 When a Sample collection kit has been selected, the DCO/BCO and the Athlete shall check that all code numbers match (if pre-labelled) and that the number is recorded accurately by the DCO/BCO on the Doping Control form. If the Athlete or DCO/BCO finds that the numbers are not the same, the DCO/BCO shall instruct the Athlete to choose another kit and the DCO/BCO

shall record the matter. If the code numbers are not pre-labelled, the DCO/BCO shall label the collection tubes with a unique Sample code number and the Athlete shall check that the number is recorded accurately by the DCO/BCO on the Doping Control Form.

- 1.13 The BCO shall assess the most suitable location for venepuncture.
- 1.14 The BCO shall clean the skin with a sterile disinfectant wipe or swab in a location unlikely to adversely affect the Athlete or his performance and, if required, apply a tourniquet. The BCO shall ensure that the 10-minute (or more) time-out period has elapsed prior to performing venepuncture and drawing blood.
- 1.15 The BCO shall take the blood Sample from a superficial vein into the tube. The tourniquet, if applied, shall be immediately removed after the venepuncture has been made.
- 1.16 The amount of blood removed shall be adequate to satisfy the relevant analytical requirements for the Sample analysis to be performed.
- 1.17 If the amount of blood that can be removed from the Athlete at the first attempt is insufficient, the BCO shall repeat the procedure up to a maximum of three attempts in total. Should all three attempts fail to produce a sufficient amount of blood, then the BCO shall inform the DCO. The DCO shall terminate the Sample Collection Session and record the reasons for termination.
- 1.18 The BCO shall ensure that the vacuum tube has been filled appropriately. After the blood flow into the tube ceases, the BCO shall remove the tube from the holder and gently homogenise the blood in the tube by inverting the tube gently at least three times.
- 1.19 The BCO shall apply a dressing to the puncture site(s).
- 1.20 The BCO shall dispose of used blood sampling equipment not required to complete the Sample Collection Session in accordance with the required local standards for handling blood.
- 1.21 The Athlete shall remain to observe the Sample until final sealing in secure, tamper-evident kit.
- 1.22 The Athlete shall seal his Sample into the Sample collection kit as directed by the BCO/DCO. In full view of the Athlete, the BCO/DCO shall check that the sealing is satisfactory. The sealed Sample is deposited in the storage device next to the temperature logger.
- 1.23 The Athlete and the BCO/DCO shall sign the Doping Control form by which the Athlete confirms that the blood Sample has been collected in accordance with the strict terms of this protocol.
- 1.24 The Sample shall be refrigerated from its collection until its analysis with the exception of when the Sample is analyzed at the collection site without delay. The storage and transport device shall be capable of maintaining blood Samples at a cool temperature during storage. Whole blood Samples shall not be allowed to freeze at any time. In choosing the storage and transport device, the DCO shall take into account the time of storage, the number of Samples to be stored in the device and the prevailing environmental conditions (hot or cold temperatures). The storage device shall be:
  - a) Refrigerator.
  - b) Insulated cool box.
  - c) Isotherm bag.
  - d) Any other device that possesses the capabilities mentioned below.

- 1.25 The DCO/BCO is responsible for Sample transport and should ensure that the Samples are transported in accordance with the requirements of this protocol and any additional instructions from the IAAF.
- 1.26 Blood Samples shall be transported in a device that maintains the integrity of Samples over time, due to changes in external temperature.
- 1.27 The transport procedure is the DCO's responsibility. The transport device shall be transported by secure means using an IAAF-authorized transport method.
- 1.28 The integrity of the Markers used in the haematological module of the ABP is guaranteed when the Blood Stability Score (BSS) remains below 85, where the BSS is computed as

$$BSS = 3 * T + CAT$$

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

Within the framework of the BSS, the following table can be used by the DCO/BCO to estimate the maximal transport time to a Laboratory or WADA- Approved Laboratory for the ABP, called the Collection to Reception Time (CRT), for a given average temperature T:

T [°C]	CRT [h]
15	35
12	41
10	46
9	48
8	50
7	53
6	55
5	58
4	60

- 1.29 The DCO/BCO shall apply a conservative approach and rapidly transport the Sample to a Laboratory or WADA- Approved Laboratory for the ABP located close to the Sample collection site.
- 1.30 The DCO, BCO or other Sample Collection Personnel shall report without delay into ADAMS:
- The Doping Control form;
  - The additional information specific to the ABP collected on a related form or supplementary report;
  - In the Chain of Custody, the temperature data logger ID (without any time reference) and the time zone of the testing location in GMT.

## APPENDIX E

### Investigating a Possible Failure to Comply

1. A Failure to Comply is a term used to describe Anti-Doping Rule Violations committed under Article 2.3 (Evading Refusing or Failing to Submit to Sample Collection) and Article 2.5 (Tampering or Attempted Tampering with any part of Doping Control).
2. Investigations conducted into a possible Failure to Comply under these Anti-Doping Regulations shall be carried out in accordance with this Appendix E.
3. Sample Collection Personnel are responsible for:
  - (a) informing the Athlete or other Person of the Consequences of a possible Failure to Comply;
  - (b) reporting any possible Failure to Comply to the DCO/BCO/other responsible official.
4. The DCO/BCO/other responsible official is responsible for:
  - (a) informing the Athlete or other Person of the Consequences of a possible Failure to Comply where possible;
  - (b) completing the Athlete's Sample Collection Session where possible; and
  - (c) providing a detailed written report of any possible Failure to Comply.
5. Any potential Failure to Comply shall be reported by the DCO/BCO/other responsible official and followed up by the IAAF or other Testing Authority as soon as practicable.
6. If the IAAF or other Testing Authority determines that there has been a potential Failure to Comply, the Athlete or other Person shall be promptly notified in writing:
  - (a) of the possible Consequences; and
  - (b) that the potential Failure to Comply will be investigated by the IAAF or Testing Authority (as applicable) and appropriate follow-up action will be taken.
7. Any additional necessary information about the potential Failure to Comply shall be obtained from all relevant sources (including the Athlete or other Person) as soon as possible and recorded.
8. The IAAF or other Testing Authority shall establish a system for ensuring that the outcomes of its investigation into the potential Failure to Comply are considered for results management action and, if applicable, for further planning and Target Testing.

## APPENDIX F

### Modifications for Athletes who are Minors

1. All aspects of notification and Sample collection for Athletes who are Minors shall be carried out in accordance with the standard notification and Sample collection procedures unless modifications are necessary due to the Athlete being a Minor.
2. In planning or arranging Sample collection, the Sample Collection Authority and DCO shall consider whether there will be any Sample collection for Athletes who are Minors that may require modifications to the standard procedures for notification or Sample collection.
3. The DCO and the Sample Collection Authority shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security or integrity of the Sample.
4. Athletes who are Minors should be notified in the presence of an adult, and may choose to be accompanied by a representative throughout the entire Sample Collection Session. The representative shall not witness the passing of a urine Sample unless requested to do so by the Minor. The objective is to ensure that the DCO is observing the Sample provision correctly. Even if the Minor declines a representative, the Sample Collection Authority, DCO or Chaperone, as applicable, shall consider whether another third party ought to be present during notification of and/or collection of the Sample from the Athlete.
5. The DCO shall determine who (in addition to the Sample Collection Personnel) may be present during the collection of a Sample from an Athlete who is a Minor, namely a representative of the Minor to observe the Sample Collection Session (including observing the DCO when the Minor is passing the urine Sample, but not directly observing the passing of the urine Sample unless requested to do so by the Minor) and the DCO's/Chaperone's representative, to observe the DCO/Chaperone when a Minor is passing a urine Sample, but without the representative directly observing the passing of the Sample unless requested by the Minor to do so.
6. Should an Athlete who is a Minor decline to have a representative present during the Sample Collection Session, this should be clearly documented by the DCO. This does not invalidate the test, but must be recorded. If a Minor declines the presence of a representative, the representative of the DCO/Chaperone must be present.
7. The preferred venue for all Out-of-Competition Testing of a Minor is a location where the presence of an adult is most likely, e.g., a training venue.
8. The Sample Collection Authority shall consider the appropriate course of action when no adult is present at the Testing of an Athlete who is a Minor and shall accommodate the Athlete in locating a representative in order to proceed with Testing.