

**IAAF**  
**ANTI-DOPING REGULATIONS**

**2009 EDITION**

**INTERNATIONAL ASSOCIATION OF ATHLETICS FEDERATIONS**

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\* Area Representatives/Représentants Continentaux

17, Rue Princesse Florestine  
BP 359 MC-98007 Monaco  
Tel (377) 93 10 88 88 Fax (377) 93 15 95 15

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# ANTI-DOPING REGULATIONS

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## PREFACE

It is a sad fact of life that doping has become a deadly threat to sport. The IAAF recognizes this threat and I can reassure you is sparing no expense or effort to keep the situation in Athletics under control.

Indeed, since the introduction of the World Anti-Doping Code, the IAAF has re-evaluated every aspect of its anti-doping policy and has heavily invested in additional resources to ensure that it can meet the modern day requirements of the fight against doping. The IAAF is committed to fight this plague and I can promise you, with the continuing support of the IAAF Council, will take whatever measures are necessary to keep itself at the forefront of the fight in the future.

The IAAF Medical and Anti-Doping Commission (“the Commission”) has been mandated by the IAAF Council to oversee, under my Chairmanship, all aspects of the IAAF’s anti-doping programme. One of the Commission’s main tasks is to keep the IAAF Anti-Doping Rules and the IAAF Anti-Doping Regulations (“the Anti-Doping Regulations”) under constant review and, where necessary, to recommend amendments for the approval of the IAAF Council.

These Anti-Doping Regulations should be read, understood and followed by everybody who has an involvement with doping control in Athletics or is involved with Athletes who may find themselves subject to doping control.

Athletes who do not use doping substances need have nothing to fear from testing, whether conducted in or out-of-competition, but, by familiarising themselves with these Anti-Doping Regulations, they will have a better understanding of the procedures involved. Member Federations and athlete support personnel can also serve the needs of their athletes better if they are fully conversant with these Anti-Doping Regulations.

May I please ask you, no matter whether you are an athlete, doctor, administrator, organiser, or simply a fan, to assist us in our objective to eradicate doping in Athletics in any way you can. We need your constant support and, with teamwork, I believe that this important fight can be won.

Dr Juan-Manuel Alonso  
Chairman  
IAAF Medical and Anti-Doping Commission  
Monaco, December 2008

## DEFINITIONS

Adverse Analytical Finding: a report from a laboratory or other 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.

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 and National Anti-Doping Organisations.

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 or other sports organisation accepting the Code.

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, or treating Athletes participating in, or preparing for, competition in Athletics.

Blood Collection Official (BCO): an official who is qualified and has been authorised to collect a blood Sample from an Athlete.

Blood Testing Protocol: the IAAF's agreed protocol for the Testing and analysis of blood Samples, as it may be amended from time to time.

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

Chaperone: an official who is authorised to carry out specific duties as part of the Sample Collection Session, including notification of the selected Athlete for Testing, accompanying and observing the Athlete until his arrival at the Doping Control Station and, where applicable, witnessing and verifying the provision of the Athlete's Sample.

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).

Doping Control: all steps and processes from Test Distribution Planning through to the ultimate disposition of any appeal including all steps and processes in between such as provision of whereabouts information, Sample collection and handling, laboratory analysis, therapeutic use exemptions, results management and hearings.

Doping Control Officer (DCO): an official who has been trained and authorised with delegated responsibility for the on-site management of a Sample Collection Session or any part of it.

Doping Control Station: the location where the Sample will be collected from the Athlete.

Event: a single race or contest in a Competition (e.g. the 100 metres or the Javelin Throw).

Failure to Comply: a term used to describe anti-doping rule violations under IAAF Rules 32.2(c), (e) and (h).

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 4.14) to make an accurate and complete Whereabouts Filing in accordance with these Anti-Doping Regulations.

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 may 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-Level Athlete: an Athlete who is in the Registered Testing Pool for Out-of-Competition Testing or who is competing in an International Competition under IAAF Rule 35.7 (see IAAF website for a definitive list of such International Competitions).

International Standard: a standard adopted by WADA in support of the Code.

Minor: a natural person who has not reached the age of majority as established by the applicable laws of his country of residence.

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 Doping Control Samples, the management of test results, and the conduct of hearings, all at the national level. This includes an entity which may be designated by multiple countries to serve as a regional Anti-Doping Organisation for such Countries or Territories. If this designation has not been made by the competent public authority(ies), the entity shall be the Country or Territory's National Olympic Committee or its designee.

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

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

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.

Processing: 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 so described on the Prohibited List.

Registered Testing Pool: the pool of Athletes established by the IAAF who are subject to both In-Competition and Out-of-Competition Testing as part of the IAAF's Testing programme.

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

Sample Collection Equipment: Equipment used to collect or hold the Sample or Specimen at any time during the Sample collection process.

Sample Collection Personnel: A collective term for qualified officials who have been authorised to carry out or assist with duties during the Sample Collection Session.

Sample Collection Session: All activities that directly involve the Athlete from notification for Testing 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 analyzing an Athlete's Sample or Specimen) and genetic information.

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 for full or part menu analysis.



Test Distribution Plan: an annual plan for the effective Testing of Athletes In and Out-of-Competition as prepared by the IAAF Medical and Anti-Doping Commission.

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

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

TUE: Therapeutic Use Exemption.

Unsuccessful Attempt Report: a detailed report of an unsuccessful Testing attempt.

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.

## 1. INTRODUCTION

- 1.1 All Athletes, Athlete Support Personnel and other Persons should acquaint themselves fully with the IAAF Anti-Doping Rules (IAAF Rules 30-47) and with these Anti-Doping Regulations. Both the IAAF Anti-Doping Rules and these Anti-Doping Regulations are available for viewing on the IAAF website.
- 1.2 These Anti-Doping Regulations have been prepared by the IAAF Medical and Anti-Doping Commission and approved by the IAAF Council. They shall be effective as from 1 January 2009 i.e., in relation to all Samples collected, or any other anti-doping rule violation committed, on or after that date.
- 1.3 The Anti-Doping Rules and Anti-Doping Regulations shall apply to all Doping Controls over which the IAAF and respectively its Members and Area Associations have jurisdiction. References in the Anti-Doping Regulations below to the IAAF shall therefore, where applicable, include references to the relevant Member or Area Association.
- 1.4 Under IAAF Rule 32.2(a), 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 IAAF Rule 36.1(b), 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, for anti-doping purposes. Relevant profile information may be used to direct Target Testing or to support an anti-doping rule violation under Rule 32.2 (Use or Attempted Use of a Prohibited Substance or Prohibited Method), or both.
- 1.5 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.
- 1.6 These Anti-Doping Regulations must be followed as far as is reasonably practicable. In accordance with IAAF Rule 33.3(b), departures from these Anti-Doping Regulations which did not cause an Adverse Analytical Finding or other anti-doping rule violation shall not invalidate such results.
- 1.7 When collecting blood Samples for or on behalf of the IAAF, Meeting Organisers should, in addition to these Anti-Doping Regulations, have specific regard to the provisions of the Blood Testing Protocol. The current version of the Blood Testing Protocol is available for viewing on the IAAF website.
- 1.8 This Introduction and the Definitions shall form an integral part of these Anti-Doping Regulations.

- 1.9 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.
- 1.10 In the event of any differences between these Anti-Doping Regulations and the International Standards, these Anti-Doping Regulations shall prevail.

## **2. TEST PLANNING**

- 2.1 The IAAF shall plan for the effective Testing of Athletes both In and Out-of-Competition. Test planning shall include information gathering, evaluation of the potential risk of doping in Athletics and developing, monitoring, evaluating and modifying a Test Distribution Plan.

### Test Distribution Plan

- 2.2 The IAAF Medical and Anti-Doping Commission shall prepare, as part of the IAAF's annual anti-doping programme, a Test Distribution Plan of the IAAF's In-competition and Out-of-Competition Testing.
- 2.3 In preparing such a Test Distribution Plan, the Medical and Anti-Doping Commission shall, as a minimum, evaluate the potential risk of doping and possible doping pattern(s) in Athletics based on the following criteria:
  - (a) the physical demands of the sport and/or discipline and possible performance-enhancing effect that doping may elicit;
  - (b) available doping analysis statistics;
  - (c) available research on doping trends;
  - (d) the history of doping in the sport and/or discipline;
  - (e) the training periods and the competition calendar; and
  - (f) information received on possible doping practices.
- 2.4 The Medical and Anti-Doping Commission shall develop and document the Test Distribution Plan based on all relevant considerations, including, but not limited to, any information obtained as a result of its evaluation under 2.3 above, the number of Athletes in the Registered Testing Pool (see further Chapter 4 below), the anti-doping activities of other ADOs with responsibility for Testing in Athletics, the strength of national anti-doping programmes and the evaluation of previous test distribution planning cycles.
- 2.5 As part of the Test Distribution Plan, the Medical and Anti-Doping Commission shall allocate the number of Sample collections that it has at its disposal for each discipline/nation (as relevant), including between urine and blood Testing and between Out-of-Competition and In-Competition Testing. The allocation between Out-of-Competition Testing and In-Competition Testing shall take into account the relative risks of doping in such periods for each discipline under evaluation.
- 2.6 The IAAF shall ensure that a significant amount of Testing undertaken pursuant to the Test Distribution Plan is Target Testing based on the intelligent

assessment of the risks of doping and the most effective use of resources to ensure optimum detection and deterrence. The factors that will be relevant to determining who should be made the subject of Target Testing include (without limitation) some or all of the following factors:

- (a) abnormal biological parameters (blood parameters, steroid profiles etc);
- (b) injury;
- (c) withdrawal or absence from expected competition;
- (d) going into or coming out of retirement;
- (e) behaviour indicating doping;
- (f) sudden major improvements in performance;
- (g) repeated failure to provide Whereabouts Filings;
- (h) Whereabouts Filings that may indicate a potential increase in the risk of doping, including moving to a remote location;
- (i) Athlete performance history;
- (j) Athlete age, e.g., approaching retirement, move from junior to senior level;
- (k) Athlete test history;
- (l) Athlete reinstatement after a period of Ineligibility;
- (m) financial incentives for improved performance such as prize money or sponsorship opportunities;
- (n) Athlete association with a third party such as coach or doctor with a history of involvement in doping; and
- (o) reliable information from a third party.

2.7 The Medical and Anti-Doping Commission shall establish a system whereby the Test Distribution Plan is reviewed and, if necessary, updated on a regular basis in order to incorporate new information and to take into account, where appropriate, Sample collections that may have been conducted on Athletes by other ADOs recognised by the IAAF. Such data shall be used to assist in determining whether modifications to the plan are necessary.

2.8 The IAAF shall ensure that Athlete Support Personnel are not involved in, and have no access to, the test distribution planning for their Athletes.

### 3. IN-COMPETITION TESTING

#### The Doping Control Station

- 3.1 A Doping Control Station shall be provided for In-competition Testing 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 Doping Control Officer shall record any significant deviations from these criteria.
- 3.2 The Doping Control Station should be clearly identified. The Doping Control Station should normally consist of a waiting room, working room and WCs (men and women). It should be equipped with all necessary IAAF-approved Sample Collection Equipment, including collection vessels, bottles and sealing equipment. Sealed non-alcoholic drinks shall be available for the Athletes should they need to re-hydrate after competing. The competition organiser and/or the DCO(s) should ensure that the facilities are clean and adequate and that the Sample Collection Equipment acceptable prior to the start of the Competition.
- 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 Athletes preparing for competition might be located for Testing (hotel, medical centre, training centre 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 and confidentiality at all times. The room to be used for the blood sampling session should be equipped at a minimum as follows:
  - (a) two steady chairs, one for the Athlete and one for the BCO (the use of stools is generally to be avoided);
  - (b) one portable bed for Athletes who have a history of fainting during or after blood withdrawal;
  - (c) one medium sized table on which to deposit the blood Sample Collection Equipment and to support and facilitate the immobilisation of the elbow during the blood collection procedure;
  - (d) a separate table to fill out the blood collection paper work; and
  - (e) a refrigerator or other form of cool storage facility into which the collected blood Samples can be placed pending screening analysis on-site or transportation from the site of collection to the agreed analysing/ screening laboratory.
- 3.4 Only the following persons should be allowed in the Doping Control Station:
  - (a) the Official in charge of the Doping Control Station;

- (b) the IAAF Delegate or Medical and Anti-Doping Delegate(s) (if appointed);
  - (c) the DCO(s);
  - (d) the BCO(s);
  - (e) other Sample Collection Personnel;
  - (f) the Athletes to be tested and their representatives, if any; and
  - (g) any other Person who might be authorised to be in the Doping Control Station by the IAAF Delegate or Medical and Anti-Doping Delegate(s) (if appointed) or the Official in charge of the Doping Control Station (for example, a WADA official in connection with the WADA Independent Observer Programme).
- 3.5 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

- 3.6 Sample Collection Personnel may be appointed to conduct or assist with the Sample Collection Sessions. Only qualified persons (medically qualified personnel or phlebotomists) are entitled to collect blood Samples under these Anti-Doping Regulations.
- 3.7 Sample Collection Personnel should have official authorisation documentation that is provided and controlled by the IAAF or by such other organising body delegated to conduct the Testing at a Competition (for example, a mission order or authorisation letter). In the case of DCOs, such documentation shall identify them by name. DCOs shall also carry complementary identification which includes their name and photograph (for example, identification card, driver's licence, health card, passport or similar valid identification) and 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.

#### Selection of Athletes to be tested

- 3.8 The selection of Athletes for Testing In-Competition shall be done on a final position basis and/or random basis, where applicable in accordance with the number of Sample collections allocated for In-Competition Testing in the Test Distribution Plan.
- 3.9 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 or he shall choose, including the use of Target Testing.

- 3.10 Sample collection shall also be conducted on any Athlete who has broken or equalled an Area and/or World Record. Any Athlete who has broken or equalled an Area and/or World Record in a race walking or running Event (from 60 metres upwards) shall be tested for erythropoiesis-stimulating agents and their releasing factors. In such cases, a blood Sample shall be taken if it is practicable to do so.
- 3.11 Following the selection of an Athlete for Sample collection and prior to notification of the Athlete, the IAAF 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.
- 3.12 Criteria may be established to validate 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.

#### Notification of Athletes

- 3.13 Other than in exceptional cases, No Advance Notice shall be the notification method for In-Competition Testing.
- 3.14 The DCO and/or Chaperone, as applicable, shall establish the location of the selected Athlete and plan the approach and timing of the notification, taking into consideration the specific circumstances of the situation in question. For this purpose, 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.
- 3.15 The DCO or Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification of the Athlete, for example, when the Athlete is a Minor or in situations where an interpreter is required and available for the notification. Otherwise, the Athlete should be the first one notified that he has been selected for Sample collection.
- 3.16 When initial contact has been made with the Athlete, the DCO or Chaperone, as applicable, shall:
  - (a) from this time 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 3.7 above; and
  - (c) if necessary, confirm the Athlete's identity to ensure that the Athlete to be notified is the same Athlete who has been selected for Doping Control. Any failure by the Athlete to confirm his identity on request

to do so shall be documented. In such cases, the DCO responsible for conducting the Sample Collection Session shall decide whether it is appropriate to report the situation as a Failure to Comply.

- 3.17 The DCO or Chaperone, as applicable, shall ensure that the Athlete is informed:
- (a) that he 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 to be conducted 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 Doping Control Station;
    - (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 3.19 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 of notification by the DCO/Chaperone until the completion of the Sample collection procedure;
    - (ii) produce identification when requested to do so;
    - (iii) comply with Sample collection procedures (and the Athlete should be advised of the possible consequences of a refusal or Failure to Comply); and
    - (iv) report immediately to the Doping Control Station for Testing unless there are valid reasons for a delay as determined in accordance with paragraph 3.19 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 and should in any event avoid excessive rehydration having in mind the requirement to produce a Sample with Suitable Specific Gravity for Analysis;
  - (h) that the Sample provided by the Athlete 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.
- 3.18 The DCO or Chaperone shall then have the Athlete sign an appropriate form to acknowledge and accept the notification. If the Athlete refuses to sign the notification form or otherwise seeks to evade the notification, the DCO/Chaperone shall (if possible) inform the Athlete of the consequences of



his refusal or Failure to Comply. If the notification is being performed by a Chaperone, he shall immediately report all relevant facts to a DCO or other responsible official. The DCO or other responsible official shall then attempt to contact the Athlete and inform him of his obligation to undergo Doping Control and of the consequences of his refusal or failure to do so. If the Athlete still refuses to sign the notification form, the DCO or other responsible official shall document the facts in a detailed report and report the circumstances to the IAAF as a possible refusal or Failure to Comply.

- 3.19 The DCO/Chaperone may at their discretion consider any reasonable third party requirement 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 and if the request relates to one of the following activities:
- (a) participation in a medals ceremony;
  - (b) fulfilment of pressing 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 exceptional circumstances which can be justified and which shall be documented.
- 3.20 The DCO shall reject a request from an Athlete under 3.19 above in any case where it will not be possible for the Athlete to be continuously chaperoned during the period in question.
- 3.21 The DCO shall always document the reasons for any delay in an Athlete reporting to the Doping Control Station and/or the reasons for an Athlete leaving the Doping Control Station after reporting for Testing. These reasons shall be submitted to the IAAF for further investigation, if necessary. Any failure of the Athlete to remain under constant observation should also be recorded.
- 3.22 If the DCO gives approval for the Athlete to leave the Doping Control Station after reporting for Testing, he shall agree either the time of his return or his return upon completion of an agreed activity. The DCO shall document this information and then the actual time of the Athlete's departure and return.
- 3.23 If the Athlete delays reporting to the Doping Control Station other than in accordance with paragraph 3.19 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 delay in the Athlete reporting to the Doping Control Station.

- 3.24 If, while keeping an Athlete under observation, Sample Collection Personnel observe any matter which, in their opinion, has the potential to compromise the Athlete's Sample collection, the circumstances shall be reported to, and documented by, the DCO. Where appropriate, the DCO shall notify the Athlete that he is reporting a Failure to Comply by the Athlete and that a further investigation may be carried out and appropriate follow up action taken. If possible, the Athlete's Sample Collection Session shall still be completed.

### Collection of Urine Samples

- 3.25 Following completion of the notification procedures and the Athlete's arrival at the Doping Control Station, the DCO shall ensure that the Athlete is informed of the requirements of the urine Sample Collection Session before the Sample collection begins.
- 3.26 The DCO shall ensure that the Athlete is offered a choice of Sample Collection Equipment for collecting the Sample. The Sample Collection Equipment shall:
- (a) have a unique numbering system incorporated into all bottles, containers, tubes or other item used to seal a 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 that all equipment is clean and sealed prior to use by the Athlete.
- 3.27 When the Athlete feels he is ready to provide a Sample, the DCO shall instruct the Athlete to select a collection vessel from a choice of at least two clean, unused vessels.
- 3.28 Whenever an Athlete selects a collection vessel or other Sample Collection Equipment that directly holds the urine Sample, the DCO will instruct the Athlete to check that all the seals on the selected equipment are intact and that 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 fact shall be recorded by the DCO. If the DCO does not agree with the Athlete that all of the equipment available for selection is unsatisfactory, the DCO shall instruct the Athlete to proceed with the Sample Collection Session and the Athlete's views shall be recorded on the Doping Control documentation. If the DCO agrees with the Athlete that all the equipment for selection is unsatisfactory, the DCO shall terminate the collection of the Athlete's urine Sample and this shall be recorded by the DCO.
- 3.29 Once the collection vessel has been selected, the DCO/Chaperone and the Athlete shall proceed to a WC to commence the Sample collection. No person

other than the Athlete and the DCO/Chaperone should be present in the WC when the urine Sample is collected. The DCO/Chaperone who witnesses the passing of the Sample shall be of the same gender as the Athlete providing the Sample.

- 3.30 The DCO/Chaperone should where practicable ensure the Athlete washes his hands thoroughly prior to the provision of the Sample.
- 3.31 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 and the DCO/Chaperone shall record the witnessing in writing. In order to ensure a clear and unobstructed view of the passing of the Sample, the DCO/Chaperone shall instruct the Athlete to remove or adjust clothing which restricts a clear view of Sample provision. Once the Sample has been provided, the DCO/Chaperone shall also ensure that no additional volume is passed by the Athlete at the time of provision which could have been secured 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 a refusal or Failure to Comply.
- 3.32 Athletes shall be required to provide as much urine as possible and no less than the Suitable Volume of Urine for Analysis (a minimum of 90ml). The DCO shall verify, in full view of the Athlete, that the Suitable Volume of Urine for Analysis has been provided. Where the volume of the urine is insufficient, the DCO shall conduct a partial Sample collection procedure in accordance with the procedure set out below (see Urine Samples – insufficient volume).
- 3.33 The Athlete shall retain control of the collection vessel and any Sample provided until the Sample is sealed. Assistance may be provided to an 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.
- 3.34 The DCO shall instruct the Athlete to select one sample collection kit (containing two bottles marked “A” and “B”) from a selection of sealed kits.
- 3.35 Once a sample collection kit has been selected, the DCO and the Athlete shall check that all code numbers match and that the relevant code number is recorded accurately by the DCO.
- 3.36 If the Athlete or DCO finds that the code numbers are not the same, the DCO shall instruct the Athlete to choose another Sample collection kit. The DCO shall record the matter.
- 3.37 The Athlete shall first pour the urine into the “B” bottle (to a minimum of 30ml) and then pour the remainder of the urine into the “A” bottle (to a minimum of 60ml). If more than the minimum Suitable Volume of Urine for Analysis has been provided, the DCO shall ensure that the Athlete fills the "A" bottle to capacity as per the recommendation of the equipment manufacturer. Should there

still be urine remaining, the DCO shall ensure that the Athlete fills the "B" bottle to capacity as per the recommendation of the equipment manufacturer. The DCO shall instruct the Athlete to ensure that a small amount of urine is left in the collection vessel, explaining that this is to enable the DCO to test the residual urine in accordance with paragraph 3.40 below.

- 3.38 Urine should only be discarded when both the "A" and the "B" bottles have been filled to capacity in accordance with paragraph 3.37 above and after the residual urine has been tested in accordance with paragraph 3.40 below. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum.
- 3.39 The Athlete shall seal the bottles as directed by the DCO. The DCO shall check, in full view of the Athlete, that the bottles have been properly sealed.
- 3.40 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 set out below (see Urine Samples – Samples that do not meet the requirement for Suitable Specific Gravity for Analysis). The DCO should ensure that the Athlete has been given the option of requiring that any residual urine that will not be sent for analysis is discarded in full view of the Athlete.

#### Urine Samples – insufficient volume

- 3.41 Where the volume of urine is insufficient (see 3.32 above), the DCO shall inform the Athlete that a further Sample shall be collected to meet the Suitable Volume of Urine for Analysis requirements.
- 3.42 The DCO shall instruct the Athlete to select a partial Sample container or kit from a selection of sealed containers or kits and to check that all the seals on the selected equipment are intact and that the equipment has not been tampered with.
- 3.43 The DCO shall then instruct the Athlete to open the relevant equipment, pour the insufficient Sample into the container and seal it as directed by the DCO. The DCO shall check, in full view of the Athlete, that the container has been properly sealed.
- 3.44 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. The DCO shall retain control of the sealed partial Sample container.
- 3.45 While waiting to provide an additional Sample, the Athlete shall remain under continuous observation and be given the opportunity to hydrate if necessary.
- 3.46 When the Athlete is able to provide an additional Sample, the procedures for collection of the Sample shall be repeated as set out above.
- 3.47 When the DCO is satisfied that the requirements for Suitable Volume of Urine for Analysis have been met, the DCO and Athlete shall check the integrity of the seal(s) on the partial Sample container(s) containing the previously provided insufficient Sample(s). Any irregularity with the integrity of such

seal(s) will be recorded by the DCO in writing and may be subject to further investigation, as appropriate.

- 3.48 The DCO shall then direct the Athlete to break the seal(s) of the partial Sample container and combine the Samples, ensuring that the additional Sample is added sequentially to the first entire Sample collected until, as a minimum, the requirement for Suitable Volume of Urine for Analysis is met.
- 3.49 The DCO and the Athlete shall then continue with the Sample collection process as described in 3.39 above.
- 3.50 The Athlete shall have fulfilled his duty to submit to Doping Control only after having delivered a volume of urine that meets the Suitable Volume of Urine for Analysis, irrespective of the time necessary for this.

#### Urine Samples - Samples that do not meet the required specific gravity

- 3.51 If the DCO determines that the requirements for Suitable Specific Gravity for Analysis have not been met (see 3.40 above), the DCO shall inform the Athlete that he is required to empty his bladder completely and then to wait to provide a further Sample. This further Sample shall not be collected for at least one hour after the time of the first.
- 3.52 While waiting to provide the further Sample, the Athlete shall remain under continuous observation. The Athlete shall be strongly encouraged not to hydrate since this may delay the production of a suitable Sample.
- 3.53 When the Athlete is able to provide an additional Sample, the procedures for collection of the urine Samples shall be repeated as set out above.
- 3.54 The Athlete shall have fulfilled his duty to submit to Doping Control only after having delivered the required volume of acceptable urine, irrespective of the time and the number of attempts necessary for this. The DCO should continue to collect additional Samples until the requirement for Suitable Specific Gravity for Analysis is met.
- 3.55 The DCO shall record the fact that the Samples collected belong to the same Athlete and the order in which the Samples were provided.
- 3.56 The DCO shall ensure that any residual urine not to be sent for analysis is discarded.
- 3.57 The DCO and the Athlete shall then continue with the Sample collection process as described in 3.39 above.
- 3.58 If it is determined that none of the Athlete's Samples meets the requirement for Suitable Specific Gravity for Analysis and the DCO determines that for logistical reasons it is impossible to continue with the Sample Collection Session, the DCO may end the Sample Collection Session. Such exceptional circumstances shall be documented by the DCO. In such circumstances, if appropriate, the ADO may investigate a possible Failure to Comply by the Athlete.

- 3.59 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.
- 3.60 The laboratory shall, in conjunction with the IAAF, determine which Samples shall be analysed.

#### Collection of Blood Samples

- 3.61 Following completion of the notification procedures (see 3.13-3.24 above) and the Athlete's arrival at the Doping Control Station, the BCO/other responsible official shall ensure that the Athlete is informed of the requirements of the blood Sample collection before the Sample collection begins. The 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. If the Athlete has not been tested before, or requests an explanation of the procedure, the BCO/other responsible official shall explain the blood collection procedure to him.
- 3.62 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, other than in the circumstances set out in 3.72 below, shall however be regarded as a failure or refusal to submit to Sample collection after notification under IAAF Rule 32.2(c) or otherwise as a Failure to Comply. In the event of a failure or refusal to submit to Sample collection or a 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 paragraphs 3.25-3.60 of these Anti-Doping Regulations.
- 3.63 The DCO/BCO and the Athlete shall proceed to the area where the Sample will be provided. The BCO shall provide the Athlete with evidence of his qualification before the blood Sample collection takes place.
- 3.64 The DCO/BCO shall ensure the Athlete is offered comfortable conditions for the Sample collection, including being in a relaxed position for at least 10 minutes prior to providing the Sample.
- 3.65 Blood Sampling Collection Equipment shall consist of (a) a single sample tube for blood profiling purposes; or (b) both an A and a B sample tube for blood analysis; or (c) as otherwise specified by the relevant laboratory. After the Athlete's rest period and the DCO/BCO explanation of the procedure to be followed (if applicable), the DCO/BCO shall direct the Athlete to choose the appropriate number of blood sampling kits.
- 3.66 The DCO/BCO shall instruct the Athlete to check that the selected kit has not been tampered with and the seals are intact. If the Athlete is not satisfied with the selected kit, he may select another. If the Athlete is not satisfied with any of the kits available for selection, this fact shall be recorded by the DCO/BCO. If the DCO/BCO does not agree with the Athlete that all of the kits available

for selection 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 of the available kits are unsatisfactory, the DCO/BCO shall terminate the collection of the Athlete's blood Sample and this shall be recorded by the DCO/BCO.

- 3.67 When a blood Sample collection kit has been selected, the DCO/BCO and the Athlete shall check that all the code numbers match and that the code number is accurately recorded.
- 3.68 The BCO shall clean the skin with a sterile disinfectant wipe or swab in a location unlikely to affect the Athlete or his performance. No blood Sample shall be taken from any part of the Athlete's body other than from the arm or hand.
- 3.69 If necessary, the BCO shall apply a tourniquet. The tourniquet, if applied, shall be immediately removed after the venipuncture has been made.
- 3.70 The amount of blood removed shall be adequate to satisfy the relevant analytical requirements for the Sample analysis to be performed. The blood shall be collected into one or more tubes depending on the purpose of the sampling or the requirements of the laboratory. No more than 25 millilitres of blood shall be withdrawn.
- 3.71 If the amount of blood that can be removed from the Athlete at the first attempt is insufficient, the BCO shall repeat the procedure. The maximum number of attempts however shall be three. Should all attempts fail, then the BCO, in consultation with the DCO where applicable, shall terminate the collection of the blood Sample and the reasons for terminating the Sample Collection Session shall be recorded.
- 3.72 An Athlete shall be entitled to refuse to provide a blood Sample if:
  - (a) the BCO purporting to conduct the blood sampling is unable to provide the Athlete with evidence of his qualification;
  - (b) none of the blood sampling kits available for use are sealed and intact;
  - (c) the BCO seeks to withdraw more than 25ml of blood from the Athlete;
  - (d) the BCO seeks to take more than three attempts to withdraw the required amount of blood;
  - (e) the BCO seeks to withdraw blood otherwise than from one of the specified sites set out above.
- 3.73 The BCO shall apply a dressing to the puncture site(s).
- 3.74 The BCO shall dispose of any used Blood Sampling Equipment not required for completing the Sample Collection Session. The Blood Sampling Equipment shall be disposed of in accordance with the required standards for handling blood.

- 3.75 If the Sample requires further on-site processing such as centrifugation or separation of serum, the Athlete shall remain to observe the Sample until final sealing in a secure tamper-evident kit.
- 3.76 The Sample shall be sealed into the Sample collection kit. Both the DCO/BCO and the Athlete shall check that the sealing of the kit is satisfactory.
- 3.77 The sealed Sample shall be stored in a manner that protects its integrity, identity and security prior to transportation from the Doping Control Station.

Post-Sample collection procedures for Urine/Blood Samples

- 3.78 Any behaviour by the Athlete and/or persons associated with the Athlete or anomalies arising with the potential to compromise the Sample collection shall be recorded by the DCO/BCO and reported to the IAAF. If appropriate, on receipt of the report, the IAAF shall investigate the Athlete's Failure to Comply.
- 3.79 The DCO/BCO shall provide the Athlete with the opportunity to document any concerns he may have about how the session was conducted.
- 3.80 In conducting the Sample Collection Session, it is recommended that the following information shall be recorded on the Doping Control Form as a minimum:
- (a) date and time of notification;
  - (b) date and time of arrival at the Doping Control station;
  - (c) date, time and type of Sample provision;
  - (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;
  - (h) the Athlete's discipline;
  - (i) the Sample(s) code number(s);
  - (j) the name and signature of the witnessing DCO/Chaperone or assistant, where applicable, who witnessed the urine Sample provision;
  - (k) the name and signature of the BCO (where applicable);
  - (l) required laboratory information on the Sample;
  - (m) medications and supplements taken and recent blood transfusion details (if applicable);
  - (n) any irregularities in procedures;
  - (o) Athlete consent to provide a Sample (if applicable);



- (p) Athlete comments or concerns regarding the conduct of the Sample collection session, if such are provided;
  - (q) Athlete consent for the processing of test data;
  - (r) Athlete consent or otherwise for the use of Sample(s) for research purposes;
  - (s) the name and signature of the Athlete's representative (if applicable);
  - (t) the name and signature of the Athlete;
  - (u) the name and signature of the DCO.
- 3.81 The DCO shall check all information on the Doping Control Form and sign to confirm that Sample collection was conducted in accordance with procedures.
- 3.82 The Athlete and the Athlete's representative, if present, shall be invited to check that all information on the Doping Control Form accurately reflects the details of the Sample Collection Session. The Athlete shall be invited to complete the comments section of the form if he has any concerns or comments regarding the procedure. If there is insufficient space on the form, the Athlete shall be invited to complete a supplementary report form.
- 3.83 In the case of a blood-only Doping Control Form, the DCO, the Athlete's representative (if any) and the Athlete shall then sign the Doping Control Form. Other persons present who had a formal role during the Athlete's Sample Collection Session may also sign the documentation as a witness of the proceedings. In the case of a combined urine/blood Doping Control Form, if the urine Sample has already been collected, the DCO, the Athlete's representative (if any) and the Athlete shall sign the Doping Control Form. If the urine Sample has not yet been collected, the Athlete shall proceed to provide a urine Sample before the DCO, the Athlete's representative (if any) and the Athlete sign the Doping Control Form.
- 3.84 The Doping Control Form used for the Sample Collection Session shall be devised so that duplicate copies are produced at the same time. These should be dealt with as follows:
- (a) the original to be retained by or sent to the IAAF;
  - (b) a copy to be retained by the representative of the relevant Testing authority;
  - (c) a copy to be given to the Athlete;
  - (d) a special copy to be sent to the laboratory or, where applicable, retained by the mobile testing unit which is to conduct the analysis. The copy that is sent to the laboratory should not contain any information that can identify the Athlete who has provided the Sample.

### Sample storage

- 3.85 The DCO is responsible for ensuring that all sealed Samples are stored in appropriate conditions in a manner that protects their integrity, identity and security prior to transportation from the Doping Control Station.
- 3.86 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.
- 3.87 Before the bottles containing the urine Samples and/or the tubes containing the blood 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.
- 3.88 The DCO shall accurately complete appropriate documentation for each transport bag/container to ensure that the laboratory can verify the contents of the bag/container.
- 3.89 The DCO shall ensure that instructions for the type of analysis to be conducted are provided to the laboratory.
- 3.90 The DCO shall complete the laboratory advice form/Chain of Custody form. 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.
- 3.91 The DCO shall keep the Samples under his control until they are passed to the courier or other Person responsible for their transportation.

### Transportation of Samples

- 3.92 A transportation system authorised by the IAAF shall be used that ensures that Samples are transported to the laboratory in a manner that protects their integrity, identity and security. Samples should, at a minimum, be placed in a suitable outer container for despatch to the laboratory.
- 3.93 Documentation identifying the Athletes shall not be included with the Samples sent to the laboratory.
- 3.94 Samples may be taken directly to the laboratory by the DCO or handed over to a third party for transportation. The third party must document the chain of custody of the Samples. If an approved courier company is used to transport the Samples, the DCO shall record the waybill number.
- 3.95 Due to the more stringent temperature and analysis requirements for blood, blood and urine Samples may be transported separately. The relevant paperwork linking the two Samples shall be included with each shipment however.

- 3.96 Sealed Samples shall be transported using the authorised transport method as soon as practicable after the completion of the Sample Collection Session.
- 3.97 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.
- 3.98 The DCO shall send all relevant Sample Collection Session documentation to the IAAF as soon as practicable after the completion of the Sample Collection Session.
- 3.99 The Chain of Custody shall be checked by the IAAF either in circumstances where the receipt of the Samples and accompanying documentation has not been confirmed at the intended destination or if a Sample's integrity or identity may have been compromised during transportation. In such a case, the IAAF shall consider whether the Sample in question should be voided. The opening of the outer container during transportation will not, however, of itself, invalidate the Sample.
- 3.100 Documentation related to a Sample collection session shall be stored for a minimum of 8 years.

#### Analysis of Samples

- 3.101 Without exception, all Samples shall be sent for analysis to a WADA-accredited laboratory (or, where applicable, to a hematological laboratory or mobile Testing unit) which has been approved by the IAAF. Where required, instructions for the type of analysis to be conducted shall be provided to the laboratory concerned.
- 3.102 Samples shall be analysed, and the results of the analyses communicated, in accordance with IAAF Rule 36, the International Standard for Laboratory Analysis and these Anti-Doping Regulations.

### **4. OUT-OF-COMPETITION TESTING**

- 4.1 It is recognized and accepted that:
- (a) No Advance Notice Out-of-Competition Testing is at the core of effective Doping Control; and
  - (b) without accurate information as to an Athlete's whereabouts, such Testing can be inefficient and often impossible.

The IAAF shall therefore establish a Registered Testing Pool of Athletes who shall be subject to and required to comply with the Athlete whereabouts requirements in accordance with these Anti-Doping Regulations and who may be subject to No Advance Notice Out-of-Competition Testing by the IAAF at any time.

## Registered Testing Pool

- 4.2 The IAAF shall consider Athletes for inclusion in the Registered Testing Pool based 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.

- 4.3 The Registered Testing Pool shall be published on the IAAF website 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 wishes 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 IAAF Rule 35.20.

- 4.4 National Federations (or National Anti-Doping Organisations operating in a National Federation's country) conducting their own No Advance Notice Out-of-Competition Testing programmes may establish their own registered testing pools. These shall include as a minimum Athletes who are part of national teams. A copy of any registered testing pool established by a National Federation (or National Anti-Doping Organisation) shall be forwarded by the National Federation to the IAAF. If an Athlete is included in both the 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 who will then share such information with the Athlete's National Federation or National Anti-Doping Organisation.

### Athlete Whereabouts requirements

- 4.5 An Athlete in the Registered Testing Pool is required to make a quarterly Whereabouts Filing that provides accurate and complete information about the Athlete's whereabouts during the forthcoming quarter, including identifying where he will be living, training and competing during that quarter, so that he can be located for Testing at any time during that quarter (see paragraph 4.10 below). A failure to do so amounts to a Filing Failure for the purposes of IAAF Rule 32.2(d).
- 4.6 An Athlete in the Registered Testing Pool is also required 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 4.11 below). This does not limit in any way the Athlete's obligation to be available for Testing at any time and place. Nor does it limit his obligation to provide the information specified in paragraph 4.10 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, and has not updated his Whereabouts Filing prior to that 60-minute time slot to provide an alternative time slot/location for that day, that failure shall amount to a Missed Test for the purposes of IAAF Rule 32.2(d).
- 4.7 Under IAAF Anti-Doping Rules (see Rule 35.4), more than one Anti-Doping Organisation may have jurisdiction to test an Athlete in the Registered Testing Pool and therefore to record a Missed Test against that Athlete (where an attempt to test the Athlete is unsuccessful and the requirements of paragraph 4.19 are satisfied). That Missed Test shall be recognized by the IAAF in accordance with Rule 35.18.
- 4.8 An Athlete shall be deemed to have committed an anti-doping rule violation under Rule 32.2(d) if he commits a total of three Whereabouts Failures (which may be any combination of Filing Failures and/or Missed Tests adding up to three in total) within any 18 (eighteen) month period, irrespective of which Anti-Doping Organisation(s) have declared the Whereabouts Failures in question.
- 4.9 The 18-month period referred to in Rule 32.2(d) and paragraph 4.8 above starts to run on the date that an Athlete commits a Whereabouts Failure. It is not affected by any successful Sample collection conducted with respect to that Athlete during the 18-month period, i.e., if three Whereabouts Failures occur during the 18-month period then an anti-doping rule violation under Rule 32.2(d) is committed, irrespective of any Samples successfully collected from the Athlete during that 18-month period. However, if an Athlete who has committed one Whereabouts Failure does not go on to commit a further two Whereabouts Failures within 18 months of the first, at the end of that 18-month period the first Whereabouts Failure "expires" for the purposes of Rule 32.2(d).

### Whereabouts Filing requirements

- 4.10 On a date specified by the IAAF that is prior to the first day of each quarter, 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 disability of the Athlete that may affect the procedure to be followed in conducting a Sample Collection Session;
  - (c) specific confirmation of the Athlete's consent to the sharing of his Whereabouts Filing with other Anti-Doping Organisations having authority to Test him;
  - (d) for each day during the following quarter, the full address of the place where the Athlete will be residing (e.g. home, temporary lodgings, hotel, etc);
  - (e) for each day during the following quarter, the name and address of each location where the Athlete will train, work or conduct any other regular activity (e.g. school or 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).
- 4.11 The Whereabouts Filing must also include, for each day during the following quarter, one specific 60-minute time slot between 6 a.m. and 11 p.m. each day where the Athlete will be available and accessible for Testing at a specific location.
- 4.12 When making a Whereabouts Filing, it is the Athlete's responsibility to ensure that he provides all of the information required 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, including but not limited to during the 60-minute time slot specified for that day in the Whereabouts Filing. 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. Specifying a location at which the Athlete cannot reasonably be found or that for whatever reason a DCO cannot reasonably access is likely to result in an unsuccessful attempt to Test the Athlete and therefore a Whereabouts Failure. In such circumstances, the following possibilities exist:

- (a) where the IAAF (or other responsible Anti-Doping Organisation) is able to determine the insufficiency of the information from the Whereabouts Filing itself, the matter should be pursued as an apparent Filing Failure in accordance with paragraph 4.21 below;
- (b) where the IAAF (or other responsible Anti-Doping Organisation) only discovers the insufficiency of the information when it attempts to Test the Athlete and is unable to locate him:
  - (i) if the insufficient information relates to the 60-minute time slot, the matter should be pursued as an apparent Missed Test in accordance with paragraph 4.22 below and/or (where the circumstances warrant) as an evasion of Sample collection under Rule 32.2(c) and/or Tampering or Attempting to Tamper with Doping Control under Rule 32.2(e); and
  - (ii) if the insufficient information relates to periods outside the 60-minute time slot, then the matter should be pursued as an apparent Filing Failure in accordance with paragraph 4.21 below and/or (where the circumstances warrant) as an evasion of Sample collection under Rule 32.2(c) and/or Tampering or Attempting to Tamper with Doping Control under Rule 32.2(e).

4.13 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 Rule 32.2(c) (evading Sample collection) and/or Rule 32.2(e) (Tampering or Attempting to Tamper with Doping Control).

4.14 An Athlete may choose to delegate the making of some or all of his Whereabouts Filings required under paragraphs 4.10 and 4.11 (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. 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 Rule 32.2(c) (evading Sample collection) and/or Rule 32.2(e) (Tampering or Attempting to Tamper with Doping Control).

4.15 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 Rule 32.2(d) 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 Rule 32.2(d) 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.

4.16 An Athlete may only be declared to have committed a Filing Failure where the IAAF (or other responsible Anti-Doping Organisation), following the results management procedure set out in paragraph 4.21, can establish each of the following:

- (a) that the Athlete was duly notified (i) that he was 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 the requirement to make Whereabouts Filings (e.g., (i) did not make any filing (ii) did not make a filing by the applicable deadline; (iii) made a filing but did not include all the required information; (iv) made a filing but included information that was inaccurate or insufficient; (v) failed to update the required information);
- (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 4.21 and 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 requirement yet failed to comply with it. That presumption may only be rebutted by the Athlete establishing that no negligent behaviour on his part caused or contributed to the failure.

#### Availability for Testing

4.17 An Athlete in a Registered Testing Pool must specifically be present and available for Testing on any given day in the relevant quarter for the 60-minute time slot specified for that day in his Whereabouts Filing, at the location that the Athlete has specified for that time slot in such filing.



4.18 It is the Athlete's responsibility to ensure (including by updates, where necessary) that the whereabouts information provided in his Whereabouts Filing is sufficient to enable any Anti-Doping Organisation to locate him for Testing on any given day in the quarter, including but not limited to during the 60-minute time slot specified for that day in his Whereabouts Filing. Where any change in circumstances means that the information previously provided by or on behalf of the Athlete (whether in the initial Whereabouts Filing or in any subsequent update) is no longer accurate or complete (i.e. it is not sufficient to enable any Anti-Doping Organisation to locate the Athlete for Testing on any given day in the relevant quarter, including but not limited to during the 60-minute time slot that he has specified for that day), the Athlete must update his Whereabouts Filing so that the information on file is again accurate and complete. He must make such update as soon as possible, and in any event prior to the 60-minute time slot specified in his filing for that day. A failure to do so shall have the following consequences:

- (a) if, as a result of such failure, an Anti-Doping Organisation's attempt to test the Athlete during the 60-minute time slot is unsuccessful, then the unsuccessful attempt shall be pursued as an apparent Missed Test in accordance with paragraph 4.19; and
- (b) if the circumstances so warrant, the failure may be pursued as evasion from Sample collection under Rule 32.2(c), and/or Tampering or Attempted Tampering with Doping Control under Rule 32.2(e); and
- (c) in any event, the Anti-Doping Organisation shall consider Target Testing of the Athlete.

4.19 An Athlete may only be declared to have committed a Missed Test where the IAAF (or other responsible Anti-Doping Organisation), following the results management procedure set out in paragraph 4.22, 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 of his liability 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 the provisions of paragraph 4.20 (if applicable) have been met; and

- (e) that the Athlete's failure to be available for Testing at the specified location during the specified 60-minute time slot was at least negligent. For these purposes, the Athlete will be presumed to have been negligent upon proof of the matters set out at sub-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 him (i) being unavailable for Testing at such location during such time slot; and (ii) failing 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.

4.20 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 attempt to test that Athlete (by the same or any other Anti-Doping Organisation) may only be counted as a Missed Test against that Athlete if that subsequent attempt takes place after the Athlete has received notice, in accordance with paragraph 4.22(b), of the original unsuccessful attempt.

#### Results Management of Whereabouts Failures

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

- (a) If it appears that all of the requirements in paragraph 4.16 relating to Filing Failures are satisfied, then no later than 14 (fourteen) days after the date of discovery of the apparent Filing Failure the IAAF (or other responsible Anti-Doping Organisation) must send notice to the Athlete in question of the apparent Filing Failure, inviting a response within 14 (fourteen) days of receipt of the notice. In the notice, the IAAF (or other responsible Anti-Doping Organisation) should warn the Athlete:
  - (i) that, unless the Athlete persuades the IAAF (or other responsible Anti-Doping Organisation) that there has not been any Filing Failure, then (subject to the remainder of the results management process set out below) an alleged Whereabouts Failure will be recorded against the Athlete; and
  - (ii) of the consequences to the Athlete if a hearing panel upholds the alleged Whereabouts Failure.
- (b) Where the Athlete disputes the apparent Filing Failure, the IAAF (or other responsible Anti-Doping Organisation) must re-assess whether all of the paragraph 4.16 requirements are met. The IAAF (or other responsible Anti-Doping Organisation) must advise the Athlete, by letter sent no later than 14 (fourteen) days after receipt of the Athlete's response, whether or not it maintains there has been a Filing Failure.

- (c) If no response is received from the Athlete by the relevant deadline, or if the IAAF (or other responsible Anti-Doping Organisation) maintains (notwithstanding the Athlete's response) that there has been a Filing Failure, the IAAF (or other responsible Anti-Doping Organisation) shall send notice to the Athlete that an alleged Filing Failure is to be recorded against him. The IAAF (or other responsible Anti-Doping Organisation) shall at the same time advise the Athlete that he has the right to an administrative review of that decision;
- (d) Where it is requested by the Athlete, such administrative review shall be conducted by the IAAF Anti-Doping Administrator (or his designee) who will not have been involved in the previous assessment of the alleged Filing Failure. The review shall be based on written submissions only, and shall consider whether all of the requirements of paragraph 4.16 are met. The review shall be completed within 14 (fourteen) days of receipt of the Athlete's request and the decision shall be communicated to the Athlete by letter sent no more than 7 (seven) days after the decision is made;
- (e) If it appears, upon such review, that the requirements of paragraph 4.16 have not been met, then the alleged Filing Failure shall not be treated as a Whereabouts Failure for any purpose; and
- (f) If the Athlete does not request an administrative review of the alleged Filing Failure by the relevant deadline, or if the administrative review leads to the conclusion that all of the requirements of paragraph 4.16 have been met, then the IAAF (or other responsible Anti-Doping Organisation) shall record an alleged Filing Failure against the Athlete and shall notify the Athlete and (on a confidential basis), his National Federation, WADA and all other relevant ADOs (including the IAAF if the Filing Failure is recorded by another ADO) of that alleged Filing Failure and the date of its occurrence.

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

- (a) The DCO shall file an Unsuccessful Attempt Report with the IAAF (or other Testing authority), setting out the details of the attempted Sample collection, including the date of the attempt, the location visited, the exact arrival and departure times at the location, the step(s) taken at the location to try to find the Athlete, including details of any contact made with third parties, and any other relevant details about the attempted Sample collection.
- (b) If it appears that all of the paragraph 4.19 requirements relating to Missed Tests are satisfied, then no later than 14 (fourteen) days from the date of receipt of the Unsuccessful Attempt Report, the IAAF (or other responsible Anti-Doping Organisation) must send notice to the Athlete of the unsuccessful attempt, inviting a response within 14 (fourteen) days

of receipt of the notice. In the notice, the IAAF (or other responsible Anti-Doping Organisation) should warn the Athlete:

- (i) that, unless the Athlete persuades the IAAF (or other responsible Anti-Doping Organisation) that there has not been any Missed Test, then (subject to the remainder of the results management process set out below) an alleged Missed Test will be recorded against the Athlete; and
  - (ii) of the consequences to the Athlete if a hearing panel upholds the alleged Missed Test.
- (c) Where the Athlete disputes the apparent Missed Test, the IAAF (or other responsible Anti-Doping Organisation) must re-assess whether all of the paragraph 4.19 requirements are met. The IAAF (or other responsible Anti-Doping Organisation) must advise the Athlete, by letter sent no later than 14 (fourteen) days after receipt of the Athlete's response, whether or not it maintains that there has been a Missed Test.
- (d) If no response is received from the Athlete by the relevant deadline, or if the IAAF (or other responsible Anti-Doping Organisation) maintains (notwithstanding the Athlete's response) that there has been a Missed Test, the IAAF (or other responsible Anti-Doping Organisation) shall send notice to the Athlete that an alleged Missed Test is to be recorded against him. The IAAF (or other responsible Anti-Doping Organisation) shall at the same time advise the Athlete that he has the right to request an administrative review of the alleged Missed Test. The Unsuccessful Attempt Report must be provided to the Athlete at this point if it has not been provided earlier in the process.
- (e) Where requested, such administrative review shall be conducted by the IAAF Anti-Doping Administrator (or his designee) who will not have been involved in the previous assessment of the alleged Missed Test, shall be based on written submissions alone, and shall consider whether all of the requirements of paragraph 4.19 are met. If necessary, the relevant DCO may be asked to provide further information to the IAAF Anti-Doping Administrator (or his designee). The review shall be completed within 14 (fourteen) days of receipt of the Athlete's request and the decision shall be communicated to the Athlete by letter sent no more than 7 (seven) days after the decision is made.
- (f) If it appears to the IAAF Anti-Doping Administrator (or his designee) that the requirements of paragraph 4.19 have not been met, then the unsuccessful attempt to test the Athlete shall not be treated as a Missed Test for any purpose; and
- (g) If the Athlete does not request an administrative review of the alleged Missed Test by the relevant deadline, or if the administrative review leads to the conclusion that all of the requirements of paragraph 4.19 have been met, then IAAF Anti-Doping Administrator (or his designee)

shall record an alleged Missed Test against the Athlete and shall notify the Athlete and (on a confidential basis), his National Federation, WADA and all other relevant ADOs (including the IAAF if the Filing Failure is recorded by another ADO) of that alleged Missed Test and the date of its occurrence.

- 4.23 The IAAF and any other ADO that declares, or that receives notice of, a Whereabouts Failure in respect of an Athlete shall not disclose that information beyond those persons with a need to know unless and until that Athlete is found to have committed an anti-doping rule violation under Rule 32.2(d) based on (among other things) such Whereabouts Failure. Such persons who need to know shall also maintain the confidentiality of such information until the same point.
- 4.24 The IAAF shall keep a record of all Whereabouts Failures alleged in respect of each Athlete within its Registered Testing Pool and in respect of each Athlete in a registered testing pool at national level. Where it is alleged that an Athlete has committed 3 (three) Whereabouts Failures within any 18-month period, proceedings shall be brought against the Athlete for a breach of Rule 32.2(d) in accordance with Rule 37.
- 4.25 An Athlete alleged to have committed an anti-doping rule violation under Rule 32.2(d) shall have the right to have such allegation determined at a full evidentiary hearing in accordance with Rule 38. 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 Athlete's National Federation bringing the proceedings to establish all of the requisite elements of each alleged Whereabouts Failure.

#### Sample Collection Personnel

- 4.26 The IAAF may appoint Sample Collection Personnel (including DCOs/BCOs and Chaperones) to conduct or assist with Out-of-Competition Testing on Athletes. In accordance with IAAF Rule 35.3, it may also appoint any third party as an IAAF authorised Out-of-Competition collection agency which may, in turn, appoint Sample Collection Personnel to conduct or assist with Out-of-Competition Testing on the IAAF's behalf.
- 4.27 All Sample Collection Personnel appointed under 4.26 shall have been trained for their assigned responsibilities, shall not have a conflict of interest in the outcome of the Sample collection for which they are appointed and shall not be Minors.
- 4.28 Sample Collection Personnel appointed for Out-of-Competition Testing shall have official authorisation documentation that is provided and controlled by the IAAF or by the relevant IAAF authorised collection agency (for example, a mission order or authorisation letter). In the case of DCOs, such documentation shall identify them by name. DCOs shall also carry complementary identification which includes their name and photograph (for

example, identification card, driver's licence, health card, passport or similar valid identification) and 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.

#### Selection of Athletes for Testing

- 4.29 Athletes in the Registered Testing Pool shall be selected for Out-of-Competition Testing by the IAAF using mainly Target Testing. Selection shall generally be made having regard to the number of Sample collections allocated in the Test Distribution Plan.
- 4.30 The IAAF may consider Target Testing Athletes based on any of the following information:
- (a) injury;
  - (b) withdrawal or absence from expected competition;
  - (c) going into or coming out of retirement;
  - (d) behaviour indicating suspected doping;
  - (e) sudden major improvements in performance;
  - (f) changes in Athlete whereabouts information that can indicate a potential increase in the risk of doping, including moving to a remote location;
  - (g) Athlete sport performance history;
  - (h) details of past Doping Controls;
  - (i) Athlete reinstatement after a period of Ineligibility; and
  - (j) reliable information obtained from a third party.
- 4.31 The IAAF may also select Athletes for Out-of-Competition Testing who are not included in the Registered Testing Pool.
- 4.32 Where the IAAF delegates its authority to an IAAF authorised Out-of-Competition collection agency to conduct Out-of-Competition Testing, where appropriate the IAAF shall provide Testing instructions to the authorised collection agency for this purpose.
- 4.33 Following the selection of an Athlete for Out-of-Competition Testing and prior to the notification of the Athlete concerned, the decision to select the Athlete for Testing shall be 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.
- 4.34 Criteria may be established to validate 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.

### Notification of Athletes

- 4.35 No Advance Notice shall be the notification method for Out-of-Competition Testing by the IAAF. All Out-of-Competition Testing shall be No Advance Notice save in exceptional and justifiable circumstances.
- 4.36 The DCO or Chaperone, as applicable, shall seek to establish the location of the selected Athlete by reference to the Athlete whereabouts information provided and shall plan the approach and timing of the notification, taking into consideration the specific circumstances of the situation in question.
- 4.37 For No Advance Notice Out-of-Competition Sample collection, reasonable attempts should be made to notify Athletes of their selection for Sample collection using the most the whereabouts information provided. If the Athlete cannot be contacted by the DCO or Chaperone after reasonable attempts have been made, the DCO/Chaperone shall file an Unsuccessful Report Form. The Unsuccessful Report Form shall set out the details of the attempted Sample collection, including the date of the attempt, the location(s) visited, the exact arrival and departure times 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 attempted Sample collection.
- 4.38 The DCO shall not re-schedule or change a Sample collection from No Advance Notice to advance notice except where an unexpected situation forces the need for an advance notice Sample collection. Any such decision shall be recorded by the DCO. Notification for advance notice Sample collection shall be by any means that indicates that the Athlete received the notice.
- 4.39 Where, in exceptional cases, a Sample collection is to proceed on an advance notice basis, the DCO shall arrange with the Athlete a time and place for the Testing to take place. The DCO and the Athlete shall seek to agree on a time and place that is convenient to both parties. If they are unable to agree, the final decision as regards the time and place of the test shall be taken by the DCO.
- 4.40 Where an arrangement has been made between a DCO and an Athlete for advance notice Testing, it is the Athlete's responsibility to check prior to the arranged meeting that there is no possible confusion over the agreed time and precise location for the Testing to take place.
- 4.41 When an Athlete notified of an advance notice Sample collection does not report to the Doping Control Station at the designated time, the DCO shall use his judgment whether to attempt to contact the Athlete further but shall be under no obligation to do so. At a minimum, the DCO shall wait 30 minutes after the designated time before departing, at which time the Athlete will be declared absent from Testing. A subsequent appeal by an Athlete on the grounds that he did not fully understand where to go, or that he went at the wrong time, will not be considered. An Athlete who is absent from Testing will

be deemed to have failed or refused to submit to Sample collection after notification in accordance with IAAF Rule 32.2(c).

- 4.42 When initial contact has been made with the Athlete, the DCO or Chaperone, as applicable, shall:
- (a) from this time until the end of the Athlete's Sample Collection Session, keep the Athlete under observation at all times;
  - (b) identify himself to the Athlete using the identification referred to in paragraph 4.28 above; and
  - (c) if necessary, confirm the Athlete's identity to ensure that the Athlete to be notified is the same Athlete who has been selected for Doping Control. Any failure by the Athlete to confirm his identity on request to do so shall be documented. In such cases, the DCO responsible for conducting the Sample Collection Session shall decide whether it is appropriate to report the situation as a Failure to Comply.
- 4.43 The DCO or Chaperone, as applicable, shall ensure that the Athlete is informed:
- (a) that he 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 to be conducted 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 Sample collection for valid reasons (see 4.45 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 of notification by the DCO/Chaperone until the completion of the Sample collection procedure;
    - (ii) produce identification when requested to do so;
    - (iii) comply with Sample collection procedures (and the Athlete should be advised of the possible consequences of a refusal or Failure to Comply); and
    - (iv) report immediately for Testing unless there are valid reasons for a delay as determined in accordance with paragraph 4.45 below.
  - (f) of the location of the Sample collection;



- (g) that, should the Athlete choose to consume food or fluids prior to providing a Sample, he does so at his own risk and should in any event avoid excessive rehydration having in mind the requirement to produce a Sample with Suitable Specific Gravity for Analysis;
  - (h) that the Sample provided by the Athlete 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.
- 4.44 The DCO or Chaperone shall then have the Athlete sign an appropriate form to acknowledge and accept the notification. If the Athlete refuses to sign the notification form or otherwise seeks to evade the notification, the DCO/Chaperone shall (if possible) inform the Athlete of the consequences of his refusal or failure to submit to Doping Control. If the notification is being performed by a Chaperone, he shall immediately report all relevant facts to the DCO. The DCO shall then inform the Athlete of his obligation to undergo Doping Control and of the consequences of his refusal or failure to do so. If the Athlete still refuses to sign the notification form, the DCO or other responsible official shall document the facts in a detailed report and report the circumstances to the IAAF as a possible refusal or failure to submit to Sample collection for the purpose of IAAF Rule 32.2(c) or otherwise as a Failure to Comply.
- 4.45 The DCO/Chaperone may at their discretion consider any reasonable third party requirement 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 and if the request relates to the following activities:
- (a) receiving necessary medical treatment;
  - (b) locating a representative and/or interpreter;
  - (c) completing a training session;
  - (d) obtaining photo identification; and
  - (e) any other exceptional circumstances which can be justified and which shall be documented.
- 4.46 A DCO shall reject a request from an Athlete under 4.45 above if it will not be possible for the Athlete to be continuously chaperoned during the period in question.
- 4.47 The DCO shall always document the reasons for any delay in an Athlete reporting to the Doping Control Station and/or for an Athlete leaving the Doping Control Station after reporting for Testing. These reasons shall be

submitted to the IAAF for further investigation, if necessary. Any failure of the Athlete to remain under constant observation should also be recorded.

- 4.48 If the DCO gives approval for the Athlete to leave the Doping Control Station after reporting for Testing, he shall agree either the time of his return or his return upon completion of an agreed activity. The DCO shall document this information and then the actual time of the Athlete's departure and return.
- 4.49 If the Athlete delays reporting to the Doping Control Station other than in accordance with paragraph 4.45 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 delay in the Athlete reporting to the Doping Control Station.
- 4.50 If, while keeping an Athlete under observation, Sample Collection Personnel observe any matter which, in their opinion, has the potential to compromise the Athlete's Sample collection, the circumstances shall be reported to, and documented by, the DCO. Where appropriate, the DCO shall notify the Athlete that he is reporting a Failure to Comply and that a further investigation may be carried out and appropriate follow up action taken. If possible, the Athlete's Sample Collection Session shall still be completed.

#### Collection of Samples

- 4.51 The DCO shall select an appropriate site for the Doping Control Station where the Out-of-Competition Testing is to take place.
- 4.52 The DCO will make every effort to collect the required Sample from the Athlete as discreetly as possible and with the maximum of privacy but the circumstances may impose difficulties on the DCO that cannot be overcome.
- 4.53 The DCO shall use the same procedures for the collection of urine and blood Samples Out-of-Competition as for the collection of urine Samples (see 3.25-3.60 above) and blood Samples (see 3.61-3.84 above) In-competition.
- 4.54 The post-Sample collection procedures to be applied In-competition shall, where appropriate, also be applied to urine and blood Samples collected Out-of-Competition.

#### Storage of Samples

- 4.55 Following collection, the sealed Samples should be stored in appropriate conditions in a manner that protects their integrity, identity and security prior to transportation from the Doping Control Station.
- 4.56 Before the bottles containing the urine Samples and/or the tubes containing the blood 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.

- 4.57 The DCO or Chaperone, as applicable, shall ensure that a Doping Control Form for each sealed Sample is completed and securely handled.
- 4.58 Without exception, all Samples shall be sent to WADA-accredited laboratories (or, where applicable, to hematological laboratories) which have been approved by the IAAF. Where required, instructions for the type of analysis to be conducted shall be provided.

#### Transportation of Samples

- 4.59 A transportation system shall be used that ensures that the Samples and accompanying documentation will be transported to the laboratory in a manner that protects their integrity, identity and security.
- 4.60 Sealed Samples shall be transported using an authorised transport method as soon as practicable after the completion of the Sample Collection Session. The Samples should, at a minimum, be placed in a suitable outer container for despatch to the laboratory.
- 4.61 All information relating to the Chain of Custody of the Samples and accompanying documentation should be recorded, including confirmation that the Samples and accompanying documentation have arrived at their intended destination.
- 4.62 Documentation identifying the Athletes shall not be included with the Samples or accompanying documentation sent to the laboratory.
- 4.63 The DCO shall send all relevant Sample Collection Session documentation to the IAAF as soon as practicable after the completion of the Sample Collection Session.
- 4.64 The Chain of Custody shall be checked by the IAAF either if receipt of the Samples and accompanying documentation is not confirmed at their intended destination or if a Sample's integrity or identity may have been compromised during transportation. In such a case, the IAAF shall consider whether the Sample in question should be voided but the opening of the outer container will not, of itself, invalidate the Sample.

#### Waiver

- 4.65 The nature of No Advance Notice Out-of-Competition Testing makes it inevitable that no advance warning is given to the Athlete. Every effort will be made by the DCO/BCO to collect the Sample speedily and efficiently with the minimum of interruption to the Athlete's training plans and/or social or work arrangements. If there is an interruption, however, no Athlete may take action to gain compensation for any inconvenience caused.

## 5. THERAPEUTIC USE EXEMPTIONS

### Introduction

- 5.1 Athletes with a documented medical condition requiring the use of a Prohibited Substance or Prohibited Method must obtain a TUE in accordance with the following provisions.
- 5.2 An application for 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 S1-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 S1-S5 and M1-M3) and for the use of the substances and methods listed as being prohibited In-Competition only (see S6-S9).

For the use of glucocorticosteroids (S9), the requirements are more specifically as follows:

- (i) use by a systemic route - use of a glucocorticosteroid by a systemic route is prohibited and a TUE must be obtained;
  - (ii) use by a non-systemic or inhaled route - use of a glucocorticosteroid by a non-systemic or inhaled route is not prohibited but requires a declaration of use (in accordance with 5.32-5.34 below);
  - (iii) for the use of topical preparations when used for dermatological (including iontophoresis/phonophoresis), auricular, nasal, ophthalmic, buccal, gingival and perianal disorders - such preparations are not prohibited and do not require either a TUE or a declaration of use.
- 5.3 Applications for a TUE which are made by International-Level Athletes must be submitted to the IAAF in accordance with the procedures set out below (regardless of whether or not the International-Level Athlete has previously obtained a TUE for the same substance or method at national level).
- 5.4 Applications for a TUE in all other cases must be submitted to the appropriate TUE body established within the Athlete's National Federation, or by 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. All such applications should be reviewed in accordance with the principles set out in this Chapter 5 below. An Athlete may not apply for a TUE to more than one body at a time.

### The IAAF TUE Sub-Commission

- 5.5 The IAAF Council shall appoint a specific body to review TUE applications submitted to the IAAF that are referred to it in accordance with IAAF Anti-Doping Rules and these Anti-Doping Regulations. This body shall be established as a Sub-Commission of the IAAF Medical and Anti-Doping Commission (the “IAAF TUESC”). The Chairman of the Medical and Anti-Doping Commission shall also be the Chairman of the IAAF TUESC.
- 5.6 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 Medical and Anti-Doping 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.
- 5.7 In order to ensure a level of independence of decision-making, a majority of the members of the IAAF TUESC reviewing a TUE application should not have any official day to day responsibility within the IAAF. All members of the IAAF TUESC will in any event sign a conflict of interest agreement. No member of the IAAF TUESC shall adjudicate on a TUE application submitted by an Athlete from (or representing) his own country.
- 5.8 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.
- 5.9 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.
- 5.10 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.

### Confidentiality of Information

- 5.11 The members of the IAAF TUESC and all IAAF staff involved in the administration of TUE applications under these Anti-Doping Regulations shall conduct their activities in strict confidence. All members of the IAAF TUESC and all IAAF staff involved will sign confidentiality agreements. In particular, the following information shall be kept 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.
- 5.12 Should the assistance of external, independent experts be required, all details of the application will be circulated without identifying the Athlete involved.
- 5.13 Should the Athlete wish to revoke the right of the IAAF TUESC or WADA 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.

#### TUE Application Process

- 5.14 For International-Level Athletes requiring the use of a Prohibited Substance or Prohibited Method in accordance with 5.2 above, a TUE application process is to be used as set out below.
- 5.15 A TUE application to the IAAF must be submitted on the relevant IAAF TUE Application form.
- 5.16 A TUE application for the use of a Prohibited Substance or a Prohibited Method In-Competition must be submitted to the IAAF no less than 21 days before the International-Level Athlete participates in the Competition in question.
- 5.17 A TUE application by an International-Level Athlete will not be considered for retroactive approval except in cases where:
  - (a) emergency treatment or treatment of an acute medical condition was necessary, or
  - (b) due to exceptional circumstances, there was insufficient time or opportunity for an applicant to submit an application, or for an application to be reviewed, prior to the Athlete submitting to Doping Control.
- 5.18 The TUE application must be legible and complete. It will only be considered to be complete if all boxes on the TUE Application Form have been properly filled in and if it is accompanied by all supporting medical documents as follows:
  - (a) a comprehensive medical history and the results of all examinations, laboratory investigations and imaging studies relevant to the application;
  - (b) a statement by an appropriately qualified physician at Testing to the necessity of the otherwise Prohibited Substance or Prohibited Method in the treatment of the athlete and describing why an alternative,

permitted medication cannot, or could not, be used in the treatment of such condition;

- (c) the dose, frequency, route and duration of administration of the otherwise Prohibited Substance or Prohibited Method in question must be specified in the application and, in case of change, a new application must be submitted; and
  - (d) in the case of TUE applications for the use of Beta-2 Agonists (formoterol, salbutamol, salmeterol and terbutaline), all supporting medical documents required by the IAAF Beta-2 Agonists Protocol. Full details of the documentation required for such applications are set out in the IAAF Beta-2 Agonists Protocol on the IAAF website.
- 5.19 The TUE application must list any previous and/or current requests for permission to use an otherwise Prohibited Substance or Prohibited Method, the body to whom that request was made, and the decision of that body.
- 5.20 Any additional relevant investigations, examinations or imaging studies that may be requested will be undertaken at the expense of the applicant or his National Federation.
- 5.21 The applicant for a TUE must provide written consent in his application for the transmission of all information concerning the application to members of the IAAF TUESC and, as required, other independent medical or scientific experts, and to all necessary staff involved in the management, review or appeal of TUEs.
- 5.22 The applicant must also provide written consent for the decision of the IAAF TUESC as regards his TUE application to be notified to other relevant organisations pursuant to IAAF Rule 34.9.
- 5.23 An Athlete shall not be permitted to use the Prohibited Substance or Prohibited Method for which the TUE application has been submitted until such time as a TUE has been granted in accordance with these Anti-Doping Regulations.

#### Adjudication of TUEs by the IAAF TUESC

- 5.24 Only TUE applications that are legible and complete in accordance with 5.18 above shall be adjudicated by the IAAF TUESC. If a TUE application is not legible and complete, it shall be returned to the applicant. If the Athlete still wishes to use the Prohibited Substance, he shall be required to re-submit his TUE application to the IAAF in legible and complete form together with any missing information/documents.
- 5.25 TUE applications will be granted by the IAAF TUESC only in cases of clear and compelling need in strict accordance with the following criteria:

- (a) that the Athlete would experience a significant impairment to his health if the Prohibited Substance or Prohibited Method was to be withheld in the course of treating an acute or chronic medical condition.
- (b) that the therapeutic use of the Prohibited Substance or Prohibited Method would produce no additional enhancement of performance other than that which might be anticipated by a return to a state of normal health following the treatment of a legitimate medical condition. The use of any Prohibited Substance or Prohibited Method to increase “low-normal” levels of any endogenous hormone or physiological blood parameter is not considered an acceptable therapeutic intervention.
- (c) that it is possible without undue difficulty to monitor or control the dose, frequency, method of administration or other aspect of the use of a Prohibited Substance or Prohibited Method that may otherwise permit an enhancement of performance other than a return to a state of normal health;
- (d) that there is no reasonable therapeutic alternative to the use of the otherwise Prohibited Substance or Prohibited Method.
- (e) that the necessity for the use of the otherwise Prohibited Substance or Prohibited Method is not a consequence, either wholly or in part, of a prior non-therapeutic use of any Prohibited Substance on the Prohibited List.
- (f) in no circumstances, shall a TUE be granted to an Athlete if the IAAF considers that he would thereby gain a competitive advantage over another Athlete.

#### Decision of the IAAF TUESC in TUE applications

- 5.26 In normal circumstances, a decision of the IAAF TUESC should be completed within thirty (30) days of receipt of all relevant documentation. In case of a TUE application made in a reasonable time limit prior to a Competition, the IAAF TUESC will use its best endeavours to complete the process before the start of the Competition. The decision of the IAAF TUESC in respect of a TUE application will be conveyed to the Athlete in writing, with a copy sent to his National Federation, the relevant National Anti-Doping Organisation (if appropriate) and WADA. Where a TUE has been granted, the Athlete and WADA will be provided promptly with a certificate of approval confirming the duration of the TUE and specifying any requirements or conditions that may have been attached to the granting of the TUE by the IAAF TUESC.
- 5.27 Upon receiving a request by an Athlete for review, the WADA TUE Committee ("WADA TUEC") may reverse the decision of the IAAF TUESC to deny a TUE. The Athlete shall provide to the WADA TUEC all the information for a TUE as submitted initially to the IAAF accompanied by an



application fee as specified by WADA. Until the review process has been completed by the WADA TUEC, the IAAF TUESC decision will remain in effect. The review by the WADA TUEC should be completed within thirty (30) days following the receipt of all information by WADA. The decision of the WADA TUEC shall be notified to the Athlete with a copy to the IAAF.

- 5.28 WADA can, on its own initiative, undertake a review of the decision of the IAAF TUESC at any time. Where, following a review by the WADA TUEC (including a review conducted upon the Athlete's request in accordance with paragraph 5.27 above), the WADA TUEC's decision is to reverse the decision of the IAAF TUESC, it shall provide its reasons for doing so in writing. If the decision regarding the granting of a TUE is reversed by WADA upon review, the reversal shall not apply retroactively and shall not disqualify the Athlete's results during the period that the TUE had been granted and shall take effect no later than fourteen (14) days following notification of the decision to the Athlete.
- 5.29 A decision by WADA reversing the grant or denial of a TUE by the IAAF TUESC may be appealed exclusively to CAS either by the Athlete or the IAAF in accordance with Rule 42.11.
- 5.30 A decision of the IAAF TUESC to deny a TUE, which is not reviewed by WADA, may be appealed in accordance with IAAF Rule 42.11.

#### Cancellation/Expiry of TUEs

- 5.31 A TUE will be cancelled if:
- (a) the Athlete does not comply with any requirements or conditions imposed on the granting of the TUE by the IAAF TUESC.
  - (b) the term for which the TUE was granted by the IAAF TUESC has expired.
  - (c) the Athlete is advised that the granting of the TUE by the IAAF TUESC has been withdrawn.

#### Declaration of Use Process

- 5.32 It is acknowledged that some substances included on the Prohibited List are used to treat medical conditions frequently encountered in the Athlete population. For monitoring purposes, these substances, for which the route of administration is not prohibited, will require a simple declaration of use. The declaration of use process shall be strictly limited to the following:

Glucocorticosteroids used by non-systemic or inhaled routes, including, but not limited to, intrarticular, intra-bursal, periarticular, peritendinous, intracystic, pulmonary, iontophoresis, anal, epidural, intrathecal and intradermal.

- 5.33 A declaration of use of the above substances should be made on ADAMS where reasonably feasible and at the same time as the use of the substance starts. The declaration of use should mention the diagnosis, the name of the substance, the dose undertaken and the name and contact details of the Athlete's physician.
- 5.34 In addition, the Athlete must declare the use of the substance in question on the Doping Control form.
- 5.35 Topical preparations when used for auricular, buccal, dermatological (including iontophoresis/phonophoresis), gingival, nasal, ophthalmic and perianal disorders are not prohibited and do not require either a TUE or a declaration of use.

#### Transitional Provisions

1. All standard TUEs granted under IAAF Rules (or otherwise recognised by the IAAF) before 1 January 2009 shall remain valid until their expiry date.
2. All abbreviated TUEs for the use of Beta-2 Agonists granted under IAAF Rules (or otherwise recognised by the IAAF) before 1 January 2009 shall remain valid until their expiry date.

## List of Related IAAF Documents

All documents directly referred to or in relation to the IAAF Anti-Doping Regulations are available on the IAAF website. The following list provides you the name of the documents and its location on the IAAF website. These documents may be amended from time to time. We therefore invite you to consult the IAAF website on a regular basis to ensure that you have the most recent and updated versions.

NAME	LOCATION
The WADA Prohibited List	Anti-Doping>Rules & Regulations>Prohibited List
IAAF Registered Testing Pool (RTP)	Anti-Doping>Athletes Area>Registered Testing Pool
Athlete Whereabouts Form	Anti-Doping>Athletes Area>Athlete Whereabouts Programme
Notice of Removal from RTP	Anti-Doping>Athletes Area>Registered Testing Pool
Athlete Advisory: Whereabouts and Missed Tests	Anti-Doping>Athletes Area>Athlete Advisory Notes
Athlete Advisory: Blood Testing	Anti-Doping>Athletes Area>Athlete Advisory Notes
IAAF Anti-Doping Programme: Athletes Guide	Anti-Doping>Athletes Area>IAAF Athletes Guide
Therapeutic Use Exemption Forms (various)	Anti-Doping>Athletes Area> Therapeutic Use Exemptions
IAAF Beta-2-Agonist Protocol	Anti-Doping>Athletes Area> Therapeutic Use Exemptions
Guide to Therapeutic Use Exemption applications	Anti-Doping>Athletes Area> Therapeutic Use Exemptions
IAAF Doping Control Forms (examples)	Anti-Doping>Rules & Regulations>Other

Other relevant documents related to the IAAF Medical and Anti-Doping Activities

NAME	LOCATION
IAAF Medical Manual	Medical>IAAF Medical Manual
Nutrition for Athletics – A Practical Guide	Medical>Nutrition for athletics
IAAF Competition Medical Handbook	Medical>Medical info for Competitions
IAAF Policy on Gender Verification	Medical>Policy Statements & Advisories
IAAF Policy on Fluid Replacement	Medical>Policy Statements & Advisories