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International protocol for doping control

Protocole international sur le contrôle du dopage



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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 3.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

In other circumstances, particularly when there is an urgent market requirement for such documents, a technical committee may decide to publish other types of normative document:

- an ISO Publicly Available Specification (ISO/PAS) represents an agreement between technical experts in an ISO working group and is accepted for publication if it is approved by more than 50 % of the members of the parent committee casting a vote;
- an ISO Technical Specification (ISO/TS) represents an agreement between the members of a technical committee and is accepted for publication if it is approved by 2/3 of the members of the committee casting a vote.

An ISO/PAS or ISO/TS is reviewed every three years with a view to deciding whether it can be transformed into an International Standard.

ISO/PAS 18873 was prepared by the International Anti-Doping Arrangement (IADA) and was adopted, under a special “fast-track procedure”, by the ISO member bodies.

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Preamble

Australia, Canada, the Netherlands, New Zealand, Norway, Sweden and the United Kingdom have established an international alliance in the area of anti-doping in sport. At the government level they have signed a memorandum of understanding, the International Anti-Doping Arrangement (IADA), outlining their commitment to co-operatively pursue and promote anti-doping in sport.

The IADA mission is to ensure the development and harmonisation of the domestic doping control programmes of the seven signatories and through this concrete example of good practice, positively influence the broader international sports community.

The IADA Strategic Plan for 1995-1998 emphasised the need for developing and implementing quality systems for national anti-doping programmes. Such systems will contribute to uniform practices and also increase world-wide confidence in doping control procedures.

At the July 1995 IADA meeting in Oslo, Norway, the IADA countries agreed to take part in the IADA Quality Project with the goals of developing and implementing quality systems for the participating countries' domestic doping control programmes, and having the quality systems certified by an internationally recognised and accredited ISO certifying agency. The ISO 9002 standard in the ISO 9000 series was recommended to be the reference standard for establishing quality systems in each IADA country.

The IADA Standard for Doping Control, version 2.0, was approved by the members of the IADA Steering Group at their March 1998 meeting in Sydney, Australia. In the IADA Standard for Doping Control, the IADA member countries have defined the overall quality policy for doping control programmes as follows:

«Through the implementation of quality systems for doping control which satisfy the requirements in the IADA Standard for Doping Control, the doping control procedures and practices will be consistent, secure and reliable in all phases of the doping control process.»

The IADA Standard for Doping Control shall be reviewed according to the «Procedure for Changing and Controlling the Quality Manual» which was approved by the IADA Steering Group in Canberra, Australia on 10 February, 1997.

Any departure from the policies and/or standards set out in the IADA Standard for Doping Control shall not invalidate the finding of a positive test result or failure to comply with a request to provide a sample unless such a departure casts real doubt on the reliability of the finding.

1.0 The IADA Quality Concept

The IADA Quality Concept presents a comprehensive approach for managing and improving quality control in doping control programmes.

By setting policies and standards for carrying out the doping control process and by ensuring that the doping control procedures in different anti-doping organisations are in compliance with these policies and standards, it will be possible to develop high quality, harmonised doping control practices world wide.

The IADA Quality Concept is comprised of the following elements:

- The IADA Standard for Doping Control
- ISO Certified Quality Systems for Doping Control
- Guidelines for Implementing ISO Certified Quality Systems.

The IADA Standard for Doping Control

The objectives for the IADA Standard for Doping Control are to improve and harmonise doping control practices, particularly as they directly affect the athlete.

The IADA Standard for Doping Control prescribes policies and standards for the doping control process and for the quality management of doping control procedures and programmes. The IADA Standard for Doping Control was designed and developed at the international level with the support and joint commitment of the IADA countries. The Standard includes:

- Policies and Standards for the Doping Control Process
- Frame Conditions for Anti-Doping Organisations
- Policies and Standards for Applying ISO 9002 to Doping Control.

Policies and Standards for the Doping Control Process

represent world best practices for doping control in sport and will be essential in harmonising doping control procedures and practices in the international sport community.

The doping control process has been divided into seven phases. Each of these phases focuses on activities that have a strong impact on the overall quality of the doping control process. The seven phases are: test distribution planning; selection and notification of athletes; preparing for and conducting the sample collection session; handling of samples; sample analysis; results management; and disciplinary procedures, sanctions and appeals. These seven phases represent a natural activity flow in the doping control process.

The main customers of the doping control process are the athletes.

Frame Conditions for Anti-Doping Organisations

include areas that have a considerable influence on the various phases in the doping control process. Frame conditions are not part of the natural activity flow in the doping control process but are prerequisites for conducting doping control programmes and procedures. Every anti-doping organisation must have these prerequisites in place in order to carry out doping controls in compliance with the policies and standards for the doping control process prescribed in the following chapter.

The frame conditions will vary depending on the type of organisation conducting doping controls. The IADA Standard for Doping Control distinguishes between frame conditions for anti-doping organisations at the national level, anti-doping organisations acting on behalf of international sport organisations and anti-doping organisations acting on behalf of major international event organisers.

Policies and Standards for Applying ISO 9002 to the Doping Control Process

introduce quality management principles. The objective of these policies and standards is to manage the doping control process using quality systems that are developed at the national or organisational level and that are in compliance with ISO 9002.

Through the implementation of quality systems for doping control that satisfy requirements in the IADA Standard for Doping Control, doping control procedures and practices will be consistent, secure and reliable in all phases of the doping control process. In turn, by applying the requirements in the ISO 9002 standard to the doping control process, a quality system will be developed that ensures the effective implementation of the IADA Standard for Doping Control at the national or organisational level. The ISO 9000 series standards are widely recognised and have been adopted by more than 70 countries. There is a growing interest in international quality standards in many industries, including the service sector. Quality systems developed in compliance with the ISO 9000 series will increase both the impact of doping control programmes and confidence in doping control practices.

The IADA Standard for Doping Control is the main reference document in the IADA Quality Concept. Therefore, any country or organisation participating in the IADA Quality Concept is committed to following the policies and standards prescribed in the IADA Standard for Doping Control.

ISO Certified Quality Systems for Doping Control

The policies and standards for applying ISO 9002 to the doping control process define the requirements for the development and implementation of quality systems that are in compliance with the IADA Quality Concept. Anti-doping organisations must implement quality systems according to these standards in order to be part of the IADA Quality Concept.

The quality systems shall be certified in accordance with ISO 9002 by an accredited certifying agency. Doping control is a new area of application for ISO 9000 quality systems. It is therefore necessary to adapt the requirements of the ISO 9002 standard in a manner that is appropriate for the doping control process.

The quality systems represent the operational level in the IADA Quality Concept. The development and implementation of required quality system documentation such as the quality manual, quality policies, procedures, work instructions, specifications, etc. are critical for the effective application of the IADA Standard for Doping Control. The quality system documentation is the main tool for ensuring that doping control activities are carried out in accordance with the prescribed standards.

The quality systems shall be audited and reviewed according to specific procedures in order to confirm that the critical activities in the doping control process are controlled, assured, improved and properly managed.

Guidelines for Implementing ISO Certified Quality Systems

In order to have a certified quality system, the IADA Quality Concept requires quality systems to be in compliance with the standards prescribed in the IADA Standard for Doping Control and the ISO 9002 standard.

The objectives of these guidelines are to ensure the effective and homogeneous implementation of quality systems within different anti-doping organisations such as national anti-doping organisations, international sport organisations and international event organisers, and to ensure that the quality systems are appropriately adapted to meet each anti-doping organisation's specific needs and requirements.

The guidelines describe the process of developing a quality system and provide direction on how to establish a quality system in practice.

The following model demonstrates the various elements in the IADA Quality Concept and how they interrelate:



2.0 Policies and Standards for the Doping Control Process

2.1 Test Distribution Planning

Policy Statement

The objective is to plan and implement an independent and effective distribution of athlete tests.

This phase starts with developing criteria for the distribution of athlete tests and ends prior to the selection of individual athletes for testing.

The main activities are consultations with relevant stakeholders, information gathering, development of test distribution criteria, development of the test distribution plan, and monitoring, evaluation and modification of the plan.

The ADO is responsible for the development of the test distribution plan.

Standards

2.1.1 The ADO shall consult, at least annually, with priority sports about the effectiveness of the test distribution plan and document the outcome of those consultations.

2.1.2 The ADO shall establish a system for collecting information necessary to develop an effective test distribution plan (eg., NSO information, historical information, research information and information from other relevant organisations).

2.1.3 The ADO shall develop and document a comprehensive set of criteria which will give direction to the test distribution plan. These criteria shall include:

- in a systematic way, assigning all sports to be tested into (i) high (ii) medium and (iii) low risk categories;
- giving high priority to high level athletes with a focus on high risk sports and high risk situations;
- in a systematic way, assigning the most effective testing method for each sport;
- giving priority to no-notice testing as the main testing method, particularly for high risk athletes with a focus on high risk sports and high risk situations;
- giving priority to «out of competition» testing.

2.1.4 The ADO shall develop and document an annual test distribution plan.

2.1.5 The ADO shall maintain testing statistics and monitor progress against the test distribution plan, and make modifications if necessary.

2.2 Selection and Notification of Athletes for Doping Controls

Policy Statement - Selection of Athletes

The objective of selecting athletes for sample collection is to detect and deter the use of banned substances and methods through an independent and unpredictable selection process.

The scope of the selection activities starts with requiring specific athlete contact information and event details from NSOs and other sources, and ends with deciding which athletes will be tested.

The main activities are: the continuous updating of athlete contact and event information from the NSOs and other sources, determining the criteria for selecting athletes, and the final selection of athletes.

The ADO has the main responsibility for determining the selection criteria and for selecting athletes, taking into account requirements from sport federations. The DCO has responsibility for applying the criteria when selecting the athletes for testing. The NSOs are responsible for providing the ADO with updated athlete contact information and information about events, competitions and training camps and programmes. NSOs are also responsible for requiring their athletes to provide updated contact information on a regular basis.

Standards - Selection of Athletes

2.2.1 The ADO shall define criteria and procedures for collecting event and athlete contact information (eg., the athlete's name, home address, alternate addresses, home and work telephone numbers, coach's name and contact telephone numbers, etc.) from the NSOs.

2.2.2 The ADO shall establish a system that requires NSOs to provide the ADO with athlete contact information in an appropriate and timely manner. This system shall require NSOs for high risk sports and specific athlete target groups to immediately provide updated contact information for any athlete in their respective athlete pools who change address for a period of 5 or more days.

2.2.3 A system shall be established to enforce the availability and provision of updated athlete contact information to the ADO, wherein non-compliance by NSOs or athletes will be investigated and appropriate action taken.

2.2.4 The ADO shall define the criteria for athletes to be registered in an athlete testing pool.

2.2.5 The ADO shall establish a system for testing athletes who are suspended or disqualified because of a doping infraction during their period of suspension and/or disqualification.

2.2.6 The ADO shall establish a system for testing athletes who are coming out of retirement or who are seeking reinstatement during a designated period before they can return to competition.

2.2.7 The ADO and the DCOs shall ensure that the athlete selection decisions are not disclosed to any unauthorised person before notification of the selected athletes.

2.2.8 When defining selection criteria, the following elements shall be included:

- national level athletes
- athletes with unusual improvement in performance
- athletes with behaviour indicating doping
- gender
- sport
- minimum level of testing
- the competition cycle.

2.2.9 The ADO shall review the specific selection criteria annually.

2.2.10 The ADO shall give written authorisation to the DCOs specifying the selection criteria, and the DCOs shall select athletes according to these criteria.

Policy Statement - Notification of Athletes

The objective of the notification process is to ensure that the selected athlete is notified, that the rights of the athlete are observed, that opportunities to manipulate the sample are minimised and that the notification is documented.

Notification of athletes starts with locating and identifying the selected athletes, and ends prior to starting the registration procedure for collecting the samples.

The main activities are:

- locating and identifying the athlete
- informing the athlete that he/she has been selected for doping control testing
- informing the athlete of his/her rights and responsibilities
- for testing where no advance notice is given, escorting the athlete from the time of notification to the arrival at the designated doping control station
- documenting the notification.

The DCO has the main responsibility for managing the notification process, including assigning responsibilities to the chaperones. The DCO also is responsible for seeking assistance from event organisers, coaches or team leaders in locating athletes.

Standards - Notification of Athletes

2.2.11 No-notice notification shall be the main notification method, particularly for high risk sports and high risk situations. Notification by telephone, fax or post can be used only in specified circumstances. Notification by telephone, fax or post shall be documented through a log system.

2.2.12 The ADO shall establish a system to confirm that the athlete selected is the athlete notified.

2.2.13 At the time of notification, the DCO shall ensure that the athlete is informed:
that he/she is required to provide a sample
of his/her rights and responsibilities, including the right to have a representative
of the possible consequences of failure to comply
that he/she has access to more detailed information about the doping control process.

2.2.14 A written notification form shall be presented to the athlete by a person authorised by the ADO and signed by the athlete.

2.2.15 If the athlete refuses to sign the notification form, the DCO shall provide the ADO with written documentation of the refusal, and the ADO shall deal with the refusal according to the procedures prescribed in 2.6 Results Management.

2.2.16 Sample collection shall take place as soon as possible after the notification process has been completed.

- For no-notice notification in both «in competition» and «out of competition» testing, the sample collection procedure shall begin as soon as possible but no later than 60 minutes after notification.
- For notification by telephone, fax or post, the sample collection procedure shall begin as soon as possible but no later than 24 hours after notification.

2.2.17 From the time of notification for a no-notice test until provision of the sample, the athlete shall be escorted to the designated doping control station by a person authorised by the ADO in such a way that the athlete is always within sight and not able to manipulate the sample to be given.

2.2.18 Following notification by telephone, fax or post, the athlete shall be escorted by a person authorised by the ADO in such a way that the athlete is always within sight and not able to manipulate the sample to be given from the time of the athlete's arrival at the designated doping control station until provision of the sample.

2.2.19 The DCO reserves the right to allow the athlete to accommodate special circumstances that may arise during the sample collection session. Should the athlete be required to leave the doping control station, he/she must be observed at all times by an ADO authorised person. The DCO shall record all such circumstances and report these circumstances to the ADO.

2.3 Preparing for and Conducting the Sample Collection Session

Policy Statement

The objective is to prepare and conduct the sample collection session in a manner that ensures the integrity, validity and identity of the sample.

The scope of this objective starts with the selection and preparation of the area in which the samples are to be collected, and ends with sealing the samples in their transport bag at the doping control station and completing associated doping control documentation.

The main activities can be subdivided into three areas: pre-collection administration, collection procedures and post-collection administration.

General responsibility for the preparation and conduct of the sample collection session lies with the ADO, while specific responsibility to fulfill these duties is delegated to the DCO. The NSOs and relevant authorities have a responsibility to assist with the provision of facilities and access to athletes.

Standards

2.3.1 The ADO shall establish a system for obtaining all the information necessary to ensure that the sample collection session can be conducted effectively.

2.3.2 The ADO shall appoint one or more DCOs to be responsible for managing the sample collection session. Where more than one DCO will be conducting tests at a sample collection session, the ADO shall appoint one DCO as the senior DCO who shall have overall responsibility for the conduct of testing at that session.

2.3.3 When appointing DCOs to be responsible for managing the conduct of sample collection sessions, the ADO shall not appoint a DCO who has an interest in the outcome of the collection or testing of a sample from any athlete who might provide a sample at that session. For the purpose of this standard, a DCO is deemed to have an interest in the collection or testing of a sample if he/she is involved in the administration of the sport or sport organisation for which testing is being conducted, or is related to or involved in the personal affairs of any athlete who might provide a sample at that session.

2.3.4 DCOs may personally perform any of the functions for conducting testing, or they may direct a chaperone to perform specified functions which fall within the scope of the chaperone's authorised duties.

2.3.5 Only DCOs and chaperones who have an accreditation recognised by the ADO shall be authorised by the ADO to carry out sample collection procedures.

2.3.6 The ADO shall establish criteria and specifications for sample collection equipment and documentation and use only sample collection equipment and documentation which meet the defined criteria and specifications.

2.3.7 The ADO shall define criteria for the designated doping control station where a sample is collected. The DCO must endeavour to use a venue for the sample collection that is in accordance with these criteria.

2.3.8 The athlete is entitled to have a representative present during the sample collection session. The ADO shall establish criteria for who may be authorised to be present at the sample collection session.

2.3.9 The DCO must ensure that the athlete has no opportunity for sample manipulation by observing the athlete from the time of arrival at the designated doping control station until provision of the sample.

2.3.10 The DCO must ensure that the athlete is offered a choice of sample collection equipment and also must provide the athlete with the opportunity to hydrate.

2.3.11 The DCO must ensure that the athlete is advised of the requirements of the sample collection procedures at the time of notification and throughout the sample collection session.

2.3.12 The DCO or chaperone shall witness the actual provision of the sample by the athlete and confirm the witnessing in writing. The person who witnesses the actual provision of the sample shall be the same gender as the athlete providing the sample.

2.3.13 The DCO shall declare a sample invalid if he/she has doubts about its origin or authenticity. The DCO shall document the reasons for invalidating the sample.

2.3.14 The DCO must ensure that the Doping Control Form includes a record of all details relating to the identity of the sample, medications taken by the athlete being tested, and persons present during the sample collection session. The Doping Control Form shall be signed by the athlete and the DCO and, if present, the athlete's representative. Copies of the Doping Control Form must be distributed to the relevant parties at the end of the sample collection session.

2.3.15 The DCO shall ensure that all samples collected during a sample collection session are securely stored from the time they are collected until the completion of the sample collection session.

2.3.16 The DCO must complete a report on the collection procedure, recording the order of events, times, persons present and detailing any irregularities in procedures.

2.3.17 All samples collected and the necessary documentation shall be securely stored and sealed in the transport bag(s) by the DCO at the completion of the sample collection session. A copy of the security number(s) shall also be sealed within the transport bag(s).

2.4 Handling of Samples

Policy Statement

The objectives for the handling of samples are to ensure that the samples are in proper condition for the laboratory to do the necessary analysis, to trace where the samples are and who is

responsible for their security at any given time, and to document all critical steps in the handling process in a proper and secure manner.

The scope of the sample handling activities starts following the sealing of the transport bag(s) containing the collected samples and the necessary documentation, and ends with the laboratory's confirmation of receipt of the samples.

The main activities are:

- Arranging for the secure transport of samples and doping control documentation to the laboratory and ADO respectively;
- transporting the samples and documentation;
- confirming receipt of the samples at the laboratory.

The ADO has the overall responsibility for the administration of a secure and reliable system to transport, store, trace and document the location of the samples.

Standards

2.4.1 When the seal on a transport bag is broken while in the care of the DCO, the DCO shall ensure that the transport bag is resealed in accordance with the requirements set out in standard 2.3.17 above and document the resealing. The DCO shall record the security number of the transport bag and provide this number to the ADO in writing.

2.4.2 When the seal is broken in transit while not in the care of the DCO, the ADO shall require the responsible person or organisation to ensure and verify the secure chain of custody of the bag.

2.4.3 The DCO shall sign the required documentation and send it in a secure manner to the ADO as soon as practicable after completing the sample collection session and if possible no later than the next working day.

2.4.4 The ADO shall monitor the reports and other sample collection documentation provided by DCOs to ensure that the collection procedures and related documentation have been properly completed.

2.4.5 The samples shall be dispatched to the laboratory by a transport supplier approved and contracted by the ADO as soon as practicable after completing the sample collection session. If practicable, the DCO shall send the samples directly to the laboratory immediately after completing the sample collection session.

2.4.6 The samples shall be transported in a transport bag in a manner that ensures the integrity of the samples for analysis.

2.4.7 During the period that the DCO is responsible for the samples, they shall be stored in a secure area where the DCO has control over who has access to the area at all times, and all reasonable efforts shall be made to keep the samples cool.

2.4.8 The ADO shall ensure that:

- the transport supplier has a system that allows confirmation of the location of the transport bag at any time;
- the DCO provides written confirmation of the transfer of the samples to the transport supplier for delivery to the laboratory;
- the laboratory provides written confirmation of having received the samples.

2.5 Sample Analysis

Policy Statement

The objective of sample analysis is to provide an accurate and valid test result.

The scope of sample analysis begins with the receipt of the samples by the laboratory and ends with the provision of all required laboratory results and reports to the NADO.

The main activities are: proper intra-laboratory chain of custody, inspections and preparations of samples, sample analyses and provision of results and reports.

Responsibility for sample analysis rests with the laboratory.

Standards

2.5.1 Laboratories shall be fully accredited by the IOC and also certified by an independent internationally recognised accreditation body.

2.5.2 The samples shall be analysed using good laboratory practices in accordance with recognised IOC standards and those of an independent internationally recognised accreditation body.

2.5.3 The laboratory shall be contracted by the ADO and other relevant authorities as appropriate. The contract with the laboratory will include:

- financial terms and conditions
- classes of substances for which each sample will be analysed
- timelines and procedures for provision of results, reports and advice
- purposes for which samples may be used
- criteria under which the laboratory will reject a sample for analysis.

2.5.4 The reference for banned substances and practices shall be defined in accordance with standards 3.1.1.5 and 3.1.1.6 under section 3.1.1 Laws and Regulations.

2.5.5 A proper intra-laboratory chain of custody and proper security practices must be ensured by the laboratory.

2.5.6 All samples collected under the auspices of the ADO will remain the exclusive property of the ADO.

2.5.7 All «A» samples shall be analysed and the results reported in confidence to the ADO, and other relevant authorities as appropriate, as soon as possible but no later than 10 working days following the receipt of the samples by the laboratory.

2.5.8 In the event that an «A» sample analysis indicates the presence of a substance classified as prohibited or restricted, the designated signatory of the laboratory will provide a confidential report with supporting analytical data to the ADO and, as appropriate, other relevant authorities.

2.5.9 The laboratory shall provide a written report to the ADO in the event that the «A» sample will not be analysed because it does not meet the laboratory specifications for sample analysis.

2.5.10 In the event that the «A» sample is problematic as to volume, suitability or content, the designated signatory of the laboratory will provide a confidential written report to the ADO and, as appropriate, other relevant authorities.

2.5.11 In the event that a «B» sample confirmation analysis is required, it will be conducted in accordance with section 2.6 Results Management.

2.6 Results Management

Policy Statement

The objectives of results management are to process laboratory results and failures to comply with doping control requirements in a manner that is fair to the athlete, and to provide an accurate and fair determination of a reportable doping infraction to the athlete, relevant sport organisation and, as appropriate, relevant disciplinary body.

The scope of results management starts with the receipt of a laboratory result or a failure to comply report, and ends with the notification of a determination of a reportable doping infraction to the athlete, relevant sport organisation and, as appropriate, relevant disciplinary body.

The main activities include the receipt of test results and failure to comply reports, gathering and assessment of relevant information, determining the validity of a test result or the validity of a failure to comply report, and notification of the determination.

The ADO or relevant authority has the primary responsibility for results management.

Standards

2.6.1 The ADO, or other relevant authorities as appropriate, shall establish a system for reaching a determination on a reportable doping infraction based on a test result from the laboratory or a failure to comply report.

2.6.2 All results from the laboratory and all failure to comply reports from DCOs shall be sent in confidence to the designated official of the ADO and, if appropriate, other relevant authority.

2.6.3 In the event of a laboratory report indicating the possibility of a doping infraction or a failure to comply report from a DCO, the ADO or other appropriate relevant authority may request that a further sample be obtained.

2.6.4 The ADO or relevant authority shall be able to suspend an athlete from competition after the «A» or «B» sample analysis if the result indicates a possible doping infraction.

2.6.5 Should the «B» sample result not confirm the «A» sample result, the athlete may immediately return to competition. In such cases, the ADO or relevant authority shall have the option to review the matter further.

2.6.6 The athlete may waive his/her rights to the «B» sample analysis in writing, thereby accepting the «A» sample finding as conclusive evidence of a positive test result.

2.6.7 If a «B» sample is required, it shall be analysed as soon as possible but no later than 5 working days after notification of the athlete. This period may be extended by mutual agreement between the athlete and the ADO or relevant authority as appropriate.

2.6.8 The athlete has the right to attend the identification, opening and analysis of the «B» sample, and to appoint a representative. Where that does not occur, a surrogate for the athlete's representative may be appointed by the ADO or relevant authority.

2.6.9 Prior to reaching a determination, the ADO or relevant authority shall provide the athlete with the option to present evidence, in writing, that may require the ADO to invalidate the test result or that demonstrates reasonable cause for failure to comply. If the athlete intends to present evidence, he/she must indicate this intention in writing to the ADO or relevant authority within 5 working days of notification.

2.6.10 In the case of a reported failure to comply, the burden of establishing a reasonable cause will rest with the athlete.

2.6.11 The ADO or relevant authority shall assess the results and/or reports and other relevant information, and determine whether or not a reportable doping infraction has occurred. The determination of a reportable doping infraction together with information and deadlines for appeal opportunities will be provided in confidence to the athlete, relevant sport organisation and, as appropriate, relevant disciplinary body.

2.6.12 The athlete and relevant sport organisation shall be entitled to receive written confirmation of all test results and failure to comply reports.

2.6.13 Where the ADO conducts sample collection at international events, the ADO shall receive copies of doping control forms and test results from the laboratory that analyses the samples and also from the relevant international sports organisations.

2.7 Disciplinary Procedures, Sanctions and Appeals

Policy Statement

The objectives of disciplinary procedures, sanctions and appeals are to ensure that the athlete's right to natural justice is respected and upheld, and that appropriate sanctions are imposed, as necessary.

The scope for these objectives starts with the ADO notifying the relevant disciplinary body of a reportable doping infraction, and ends when the disciplinary body determines whether a doping infraction has occurred and, if it has, what sanction is applied. If an appeal is lodged, the scope ends with reporting the result of the appeal.

The main activities are considering the evidence, making a decision, imposing an appropriate sanction as required, and if an appeal is lodged, the provision of an appeal system.

The disciplinary body is responsible for conducting an independent hearing process, considering the evidence, making decisions and imposing appropriate sanctions as required. The ADO and/or relevant sport organisation is responsible for providing an independent appeal system.

Standards

2.7.1 The athlete shall be informed of the reportable doping infraction and be provided with relevant documentation on the reportable infraction.

2.7.2 The athlete shall have the opportunity to present any information to the disciplinary body, either in writing or in person. The athlete can be represented at the hearing of the disciplinary body.

2.7.3 The disciplinary body shall make a decision as to whether or not a doping infraction has occurred after consideration of all of the evidence presented.

2.7.4 Following the decision that a doping infraction has occurred, appropriate sanctions shall be imposed that as a minimum are consistent with the current IOC Medical Code.

2.7.5 The ADO shall be advised of the decisions made by the disciplinary body and/or the relevant sport organisation.

2.7.6 The ADO and/or the relevant sport organisation shall apply and monitor the imposition of sanctions, and shall ensure that the sanctions are applied across sports.

2.7.7 All disciplinary body decisions confirming that a doping infraction has occurred shall be publicly disclosed by the relevant sport organisation.

2.7.8 The athlete and the relevant sport organisation shall have the right to appeal a decision or a sanction, and have the appeal heard by an appeals tribunal that is independent of the disciplinary body.

3.0 Frame Conditions for Anti-Doping Organisations

3.1 National Anti-Doping Organisations (NADO)

3.1.1 Laws and Regulations

Policy Statement

The objective is to have internationally consistent anti-doping sport policies, laws and/or regulations that ensure the authority of the national sport governing bodies to require athletes to undergo doping tests and to sanction athletes who violate the doping regulations. The anti-doping sport policies, laws and regulations shall protect the athletes' rights. Based on these principles, and for international consistency, the national anti-doping sport policies, laws and regulations shall specify the list of banned substances and practices, the doping control procedures and the sanctions for doping infractions.

The national anti-doping sport policies, laws and/or regulations shall include all necessary legal and/or regulatory aspects, from the authority of the national sport governing bodies to the description of the appeal system.

The main activities are approval and enforcement of the anti-doping sport policies, laws and/or regulations, approval and enforcement of the sanctions, development of the doping control procedures, the process of defining lists of banned substances and practices, and management of the doping control process.

A national organisation independent of national sport organisations, and with full integrity in the anti-doping field, shall have responsibility for ensuring the enforcement of the anti-doping sport policies, laws and/or regulations.

Standards

3.1.1.1 There shall be a set of complementary anti-doping sport policies, laws and/or regulations that apply to all sport governing bodies.

3.1.1.2 The anti-doping sport policies, laws and/or regulations shall describe the authority of the national sport governing body to require doping controls and to impose sanctions on athletes who violate the anti-doping regulations.

3.1.1.3 The national anti-doping authorities shall have the right to require athletes to undergo doping controls at any time and place, without prior notice.

3.1.1.4 The sport policies, laws and/or regulations shall define what constitutes a doping infraction.

3.1.1.5 Each year, the national anti-doping organisation shall specify in a schedule which substances and doping practices are banned.

3.1.1.6 The schedule of banned substances and doping practices shall be based on the International Olympic Committee (IOC) list of prohibited substances and doping infractions. The schedule shall also define:

- which substances, at a minimum, the national anti-doping organisation shall test athletes for when conducting «in competition» testing;
- which substances, at a minimum, the national anti-doping organisation shall test athletes for when conducting «out of competition» testing;
- which substances, at a minimum, the national anti-doping organisation shall test athletes for when conducting tests on behalf of international sport organisations.

3.1.1.7 The national anti-doping authorities shall establish a system to ensure that the list of banned substances and practices is distributed to all national level athletes each year. This list shall be available to all registered athletes.

3.1.1.8 The national sport policies, laws and/or regulations shall define who has the authority and responsibility for enforcing the anti-doping regulations. The national anti-doping authority shall be independent of the national sport organisations and have full integrity in the anti-doping field.

3.1.1.9 The national sport policies, laws and/or regulations shall define the national anti-doping authorities' responsibilities pertaining to anti-doping regulations, sanctions, doping control procedures and the list of banned substances and practices.

3.1.1.10 The national sport policies, laws and/or regulations shall define that, within the national anti-doping structure, the disciplinary body shall be independent of the executive/prosecuting authority.

3.1.2 Organisational Responsibilities and Authorities

Policy Statement

The objective is to have an independent national anti-doping organisation (NADO) that has the necessary authority and responsibility for planning, co-ordinating, implementing, monitoring and advocating improvements in the doping control process. The government, the NADO and the national sport organisations (NSOs) shall have clearly defined areas of responsibility. The NADO shall ensure that the NSOs fulfill their defined responsibilities. The national anti-doping structure shall represent a well-defined distinction between the legislative, the executive and the disciplinary authorities.

The main activities for reaching the objectives are as follows:

- ensure that the NSOs and the government understand the need for an independent anti-doping organisation, and thereby accept this as an organisational model
- act to bring about changes, if necessary, to the national and international sport policies, laws and/or regulations
- define and make the necessary resources available
- the NADO together with the NSOs need to define the NSOs responsibilities and tasks
- ensure that there is a mechanism to sanction NSOs that do not fulfill their responsibilities.

The NADO is responsible for initiating and co-ordinating the main activities and for achieving the described objectives.

Standards

3.1.2.1 There shall be one NADO that has the necessary authority and responsibility for planning, co-ordinating and monitoring the doping control process.

3.1.2.2 The NADO shall have the necessary authority and responsibility to advocate changes to sport policies, laws and/or regulations. In particular, the NADO shall advocate, in co-operation with other NADOs, that:

- changes be made to the IOC list of prohibited substances and doping practices in areas where the IOC list is identified as inadequate or deficient;
- changes be made to the sanctions specified in the IOC or international sport organisation's rules where those sanctions are identified as being inappropriate or inconsistent;
- sport disciplinary bodies seek expert medical and scientific advice when they convene hearings to determine whether doping infractions have occurred and, if they have occurred, what might be appropriate sanctions.

3.1.2.3 Within the national anti-doping structure there shall be a formal and organisational distinction between the executive/prosecuting authorities and the disciplinary body.

3.1.2.4 To ensure that the doping control process is carried out in accordance with the overall objective of being effective in prevention, deterrence and detection of athletes who dope, the NSO shall endorse the present national anti-doping policy and comply with the tasks and responsibilities as defined for the NSO. These tasks and responsibilities shall include:

- updating specified information on athletes and events and providing this information to the NADO;
- informing the athletes about the list of banned substances and practices;
- assisting with the sample collection session;
- assisting with investigating the circumstances surrounding doping infractions;
- informing the NADO about possible use of banned substances and practices;
- implementing and monitoring sanctions.

3.1.2.5 The NADO shall secure the necessary resources to fulfill its objectives and responsibilities.

3.1.3 Plans

Policy Statement

The objective is to develop long-term strategic plans and annual operational plans to continuously improve the efficiency and the harmonisation of different anti-doping systems.

The national long-term strategic plans and annual operational plans and reports shall outline the objectives and activities relating to the critical success factors for achieving drug-free sport: doping control, research, education, and international advocacy and co-operation.

The NADO is responsible for the development of long-term strategic plans and annual operational plans.

Standards

3.1.3.1 The national long-term strategic plans shall outline at least the following four main programmes: doping control, research, information and education, and international advocacy and co-operation.

3.1.3.2 Annual national short-term plans shall be developed to be consistent with long-term strategic plans, and they shall identify necessary resources to achieve the NADO's mandate.

3.1.3.3 The NADO shall develop a system to report on progress regarding the long-term strategic plans and the annual operational plans.

3.1.3.4 The NADO's planning for doping control shall be consistent with quality management principles.

3.1.3.5 The NADO, in co-operation with other NADOs and other research institutions, shall support appropriate scientific and sociological research to improve the effectiveness of the anti-doping programme.

3.1.3.6 The NADO shall develop, implement and review information and education programmes for specific target groups.

3.1.3.7 To further international co-operation, the NADOs shall prepare and exchange reports on the outcome of their respective long-term strategic plans and annual operational plans.

3.1.4 Resource Management

Policy statement

The objective is to acquire and manage resources in an effective, efficient and accountable manner that enables the NADO's goals to be achieved.

Resource management starts with establishing the operational plans and ends with providing feedback on the use of resources as part of the planning cycle.

The main activities are:

- determine the resources required to implement the plans;
- acquire sufficient and appropriate resources;
- plan, monitor, evaluate and modify how resources are used;
- document resource management activities.

The NADO has the overall responsibility for ensuring that resources are managed appropriately and in a manner that fulfills the defined objectives and responsibilities.

Standards

3.1.4.1 The NADO shall identify and acquire the resources necessary to implement the operational plans including:

- sample collection staff and accreditation of doping control officers (DCOs) and chaperones;
- administrative staff to provide support for doping control activities;
- sample collection equipment;
- support services including courier services, laboratory services, legal services;
- corporate operations required for doping control activities;
- information technology;
- resources for international advocacy and co-operation.

3.1.4.2 The NADO shall prepare and document an annual budget for required resources based on accurate costing information.

3.1.4.3 The NADO shall maintain and periodically review ongoing records for the use of human, financial, equipment and service resources.

3.1.4.4 The NADO shall conduct and document an annual evaluation of the efficiency and effectiveness of allocation of resources against the annual operational plan.

3.1.4.5 The NADO shall negotiate and document agreements to secure required resources.

3.1.4.6 The NADO shall document job descriptions or duty statements and follow specified selection criteria and recruitment guidelines for hiring staff.