



ISTI

Urine *Sample* Collection Guidelines

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1.0 Introduction

These Urine *Sample* Collection Guidelines expand upon the World Anti-Doping Agency's (WADA's) International Standard for Testing and Investigations (ISTI).

The processes outlined in this document promote good practice moving forward, assisting *Anti-Doping Organizations (ADOs)* in the development of systems and protocols to support intelligent, effective *Testing* programs.

Withstanding exceptional and justifiable circumstances, No Advance Notice Testing shall be the method for urine *Sample* collection. While the *Sample* collection process may vary slightly from the recommendations provided, mandatory ISTI provisions apply to maintain the integrity of the *Sample* and consistent with relevant principles of internationally recognized standard precautions in health care settings, to ensure that the health and safety of the *Athlete* and Sample Collection Personnel are not compromised.

1.1 Scope

The Guidelines cover the urine *Sample* collection process, from roles and responsibilities; planning and preparation; *Athlete* selection, notification and chaperoning; *Sample* provision, post-test processing, sealing and storage; to transport of the urine *Sample(s)* to the Laboratory for analysis.

For requirements specific to blood *Sample* collection, refer to the Blood Sample Collection Guidelines.

1.2 References

1.2.1 Defined Terms

These Urine *Sample* Collection Guidelines include defined terms from the World Anti-Doping Code (*Code*) and these *International Standards (IS)*: The ISTI and International Standard for Laboratories (ISL). *Code* terms are written in italics. Terms from the *IS* are underlined.

Definitions are provided in Guidelines Section 12.0.

1.2.2 Documentation

The following are considered main references for the Urine *Sample* Collection Guidelines, all of which are available on [WADA's Web site](#):

- 2015 World Anti-Doping Code
- International Standard for Testing and Investigations
- *WADA's* Guidelines for Implementing an Effective *Testing* Program

Related support documentation is provided in the Appendices:

- Appendix 1: Chaperone Training Guidelines
- Appendix 2: Chaperone Confidentiality and Code of Conduct Agreement.

2.0 Roles and Responsibilities

2.1 Testing Authority / Sample Collection Authority

ADOs contracting other ADOs or third parties to act as Sample Collection Authorities are considered *Testing Authorities*.

The Sample Collection Authority is responsible for the overall conduct of the *Sample Collection Session*. Main activities are listed below, some of which may be performed by the Testing Authority or delegated to the Doping Control Officer (DCO).

Unique to the Testing Authority role is instituting ISTI Annex A – Investigating a Possible Failure to Comply.

Preparation:

- Determine the necessary competence and qualification requirements of Sample Collection Personnel, establish an accreditation / re-accreditation system, and develop duty statements that outline their respective responsibilities.
- Appoint and authorize Sample Collection Personnel, ensuring personnel have been trained for their assigned responsibilities, have no conflict of interest in the outcome of the *Sample* collection and are not *Minors*.
- Maintain records of education, training, skills, and experience of all Sample Collection Personnel.
- Delegate specific responsibilities to the Doping Control Officer (DCO).
- Provide official documentation to Sample Collection Personnel validating their authority to collect a *Sample* from the *Athlete*, e.g. an authorization letter from the Testing Authority.
- Obtain the necessary information to ensure the effective conduct of the Sample Collection Session, including identifying if the *Athlete* has special requirements (ISTI Annex B - Modifications for *Athletes* with Impairments and Annex C - Modifications for *Athletes* who are *Minors*).

Athlete notification:

- Establish a system for locating the selected *Athlete*, planning the approach and timing of notification, and recording in detail *Athlete* notification attempt(s) and outcome(s).
- Establish criteria to validate the notified *Athlete's* identity.

- Determine if a third party is required for notification prior to notification of the *Athlete* when the *Athlete* is a *Minor* or where required by an *Athlete's* impairment (ISTI Annex B and C), or in situations where an interpreter is required.

Sample collection:

- Establish criteria for the authorization of who may be present during the Sample Collection Session in addition to Sample Collection Personnel.
- Develop a system to ensure that documentation is completed for each *Sample* and is securely handled.

Post-test administration:

- Define criteria ensuring that each *Sample* collected is stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station. Minimum criteria include detailing and documenting the location where *Samples* are stored and who has custody of the *Samples* and/or is permitted access to the *Samples*.
- Authorize a transport system that ensures *Samples* and documentation are transported in a manner that protects their integrity, identity and security.
- Develop a system for recording Chain of Custody of the *Samples* and *Sample* collection documentation, including confirmation that both the *Samples* and collection documentation have arrived at their intended destinations.
- Develop a system to ensure that, where required, instructions for the type of analysis to be conducted are provided to the Laboratory conducting the analysis.
- Store documentation related to a Sample Collection Session and or an anti-doping rule violation in accordance with the International Standard for the Protection of Privacy and Personal Information (ISPPPI).

2.2 Doping Control Officer

One lead/senior DCO oversees the Sample Collection Session, ensuring that each Sample is properly collected, identified and sealed, and that all Samples have been properly stored and dispatched in accordance to the relevant analytical guidelines.

Either the DCO or Chaperone assumes Athlete notification, chaperoning and Sample collection responsibilities. Some ADOs prefer the Chaperone notify the Athlete only and not be present as a Witness during Sample provision. This Guidelines document allows for both scenarios.

On-site preparation:

- Organize equipment, including all relevant documentation.
- Organize and brief Sample Collection Personnel on their roles and responsibilities prior to or upon arrival at the Doping Control Station, including Athlete notification, chaperoning and Sample collection (also blood collection, if applicable).
- Ensure that Chaperones are trained in carrying out relevant activities.
- Assess and organize the Testing facilities.

Athlete notification:

- Arrange or perform notification and escorting of Athletes.
- Liaise with sport representatives, if relevant.
- Ensure that the Athlete's rights and responsibilities are explained.
- Explain, or arrange explanation of, the process for urine Sample collection to Athletes and Athlete Representatives, as necessary.

Sample collection:

- Collect and/or oversee the Sample collection.
- Coordinate collection of accompanying blood Sample, if necessary.
- Witness, or arrange the witnessing of, Sample provision.
- Ensure that each Sample is properly collected, identified and sealed.

Post-test administration:

- Oversee the post-collection process.
- Ensure all *Samples* have been properly stored and dispatched in accordance with the relevant analytical guidelines.
- Dispose of the Sample Collection Equipment used in *Sample* collection.
- Complete, or arrange completion of, and verify, the relevant documentation.
- Verify the Chain of Custody.
- Organize courier services, if necessary, and transport the *Sample/s*. Or organize on-site screening of *Sample*.

2.3 Chaperone

A Chaperone may be assigned additional duties for blood *Sample* collection. The duties listed below relate to urine *Sample* collection only.

On-site preparation:

- Receive training from the DCO. Chaperones with no experience are to be trained by the DCO on site.
- Training will include the requirements for notification, chaperoning and witnessing *Sample* provision (if applicable), and confidentiality obligations.

Athlete notification:

- Notify the *Athlete* in person as instructed by the DCO.
- Escort the *Athlete* from notification until arrival at the Doping Control Station.

Sample collection:

- Act as the Witness for *Sample* provision as instructed by the DCO and complete the relevant section of the *Doping Control* form(s) as instructed by the DCO (if appropriately trained and authorized).

2.4 Sample Collection Personnel

Sample collection:

- Conduct or assist with the Sample Collection Session.
- These individuals must:
 - Be trained and authorized for their assigned responsibilities;
 - Not have any conflict of interest in the outcome of the *Sample* collection; and
 - Not be a *Minor*.

2.5 *Athlete*

Athlete notification:

- Request the presence of an Athlete Representative, if desired.
- Be escorted from notification to *Sample* provision.

Sample collection:

- Report for *Doping Control* as soon as possible, unless there are valid reasons for a delay (ISTUE Article 5.4.4 (a), (b) and Guidelines Section 5.1.3).
- Produce valid ID.
- Remain within direct observation of the DCO/Chaperone at all times from the point of initial contact with the DCO/Chaperone to completion of the *Sample* collection procedure.
- Be accountable for any food or beverage consumed prior to *Sample* provision.
- Be familiar and comply with the *Sample* collection process.
- Do not hydrate excessively prior to *Sample* provision.
- Be responsible at all times for his/her own *Sample(s)* from provision to sealing.
- Observe the procedure and ensure there are no irregularities (e.g. insufficient choice or inadequate equipment).
- Declare any medication and/or supplements used in the past 7 days.

- Comment on the *Sample collection process* in the area(s) provided on the *Doping Control* documentation, if applicable; ask questions as needed.
- Sign documentation as requested by the DCO.

2.6 Athlete Representative

The presence of an Athlete Representative is optional, but strongly recommended for *Athletes* who are *Minors* or where required by an *Athlete's impairment* (ISTI Annex B - Modifications for *Athletes* with Impairments and Annex C - Modifications for *Athletes* who are *Minors*).

Athlete notification:

- Accompany the *Athlete* during notification.
- Accompany the *Athlete* to the Doping Control Station.

Sample collection:

- Assist in the selection of equipment and the sealing process, if requested by the *Athlete*.
- Assist the *Athlete* in the completion of documentation, if requested by the *Athlete*.
- Be familiar and comply with the *Sample* collection process.
- Observe the *Sample* collection process and ensure there are no irregularities (e.g. insufficient choice or inadequate equipment).
- Sign documentation as requested by the DCO.

3.0 Preparation for the Sample Collection Session

The protocol for the Sample Collection Session is divided into the following areas.

3.1 Required Equipment and Supplies

The DCO ensures the required equipment and supplies are in place for the Sample Collection Session.

There may be slight variations in equipment. As a general rule, the following are to be available:

- a. Clean, sealed urine collection vessels.
- b. Partial *Sample* kits.
- c. Equipment for measuring specific gravity.
- d. Sealed, tamper-evident bottles/containers for A and B *Samples*.
- e. Secure courier transport bags/containers.
- f. Disposable gloves providing barrier protection.
- g. Soap, hand wash or anti-bacterial gel/liquid.
- h. Paper towels or other absorbent material.
- i. Garbage bin/ bags.
- j. Individually sealed non-alcoholic beverages.
- k. Scissors, pens and other applicable stationary.
- l. All *Doping Control* documentation.*
- m. Other equipment specified by the relevant Laboratory.

* Includes *Doping Control* forms, *Athlete* notification forms (if not part of the *Doping Control* form), supplementary report forms, Chain of Custody forms, DCO report forms, etc.

3.2 Sufficient Quantities

Sufficient quantities of Sample Collection Equipment should be made available to ensure:

- An *Athlete* selected for *Testing* has a choice of at least 3 *Sample* collection vessels, *Sample* collection kits and partial *Sample* kits at all times.
- The amount of *Doping Control* documentation supplied is based upon the number of tests being conducted.

Insufficient choice will not invalidate the legitimacy of the collection process, however it is recommended that both the *Athlete* and DCO or *Athlete Representative* (as assigned by the DCO) attest in writing to the adequacy of the equipment used.

3.3 System Criteria

Sample Collection Equipment systems are to:

1. Incorporate unique numbering systems into all bottles, containers or other items used to identify the *Sample*.
2. Provide a tamper-evident sealing system.
3. Ensure the identity of the *Athlete* is not evident from the equipment itself.
4. Ensure that all equipment is clean and intact prior to use by the *Athlete*.

3.4 Sample Collection Personnel Briefing

The DCO briefs the Sample Collection Personnel on their roles and responsibilities prior to or upon arrival at the Doping Control Station.

This includes *Athlete* notification, chaperoning, urine *Sample* collection, and blood *Sample* collection, if applicable. (See ISTI Article 7 and WADA's Sample Collection Personnel: Recruitment, Training, Accreditation, and Re-Accreditation Guidelines.)

Sample Collection Personnel appointed to conduct or assist with the Sample Collection Session must meet the qualifications listed in Guidelines Section 2.4.

Chaperones with no experience are trained by the DCO on site. Training requirements are listed in Guidelines Section 2.3.

During the briefing, the DCO presents official documentation (e.g. an authorization letter from the Testing Authority) to Sample Collection Personnel that details the DCO's authority to collect a *Sample* from the *Athlete*.

ADOs provide and control the official authorization documentation used. *Doping Control* authorization letters can be automatically generated from *ADAMS*.

3.5 Facilities

Privacy, sole use and cleanliness are required for a facility to be used as a Doping Control Station.

If the facility does not offer the *Athlete* privacy, and/or is intended to be used for purposes other than *Doping Control* while *Sample* collection is being carried out, the DCO locates an alternative location.

The DCO documents any significant variations from these criteria. *ADOs* can request that a sketch of the Doping Control Station be included in the DCO's report.

3.5.1 *In-Competition Testing Criteria*

In addition to meeting privacy and sole use requirements, Doping Control Station facilities are to:

- a. Maintain *Athlete* confidentiality.
- b. Be well lit and well ventilated.
- c. Provide managed entry with access restricted to authorized personnel.
- d. Be lockable and provide secure storage for *Samples* and Sample Collection Equipment.
- e. Include a waiting area with chairs; a separate work station with a table and chairs; and adjacent toilet facilities for *Sample* provision that allow the *Athlete* to wash his/her hands, with cubicles large enough to accommodate the Witness and the *Athlete*.
- f. Be sized according to the number of *Athletes*, Athlete Representatives and Sample Collection Personnel who will occupy the area.
- g. Be suitably located in relation to the field of play or other location where the *Athletes* will be notified.
- h. Contain a selection of sealed, non-alcoholic drinks for *Athletes*, if possible.

Transportation

Should the Doping Control Station be some distance from the sporting venue where the *Athletes* compete/finish, the DCO is to arrange with the *Event* organizer appropriate transportation for *Athletes*, Athlete Representatives and Sample Collection Personnel – both to the Doping Control Station and either back to the venue or other agreed location/s upon completion of the *Sample* collection process.

3.5.2 *Out-of-Competition Testing Criteria*

Doping Control Station facilities are to:

- a. Meet the privacy and sole use requirements; and
- b. Provide a suitable waiting area and work station, where possible.

For *Out-of-Competition Testing*, the facility serving as the 'Doping Control Station' might be an *Athlete's* home or a hotel room vs. an officially designated Doping Control Station.

3.5.3 Access Restrictions

The DCO can assign Sample Collection Personnel to monitor access to the Doping Control Station to ensure admission of authorized persons only, or request the Event organizer to assign personnel.

Doping Control Station access is restricted to the Athlete, the Athlete Representative, an interpreter (if required), and Sample Collection Personnel, unless otherwise approved by the DCO.

Additional personnel requesting access may include an International Federation (IF) representative, an ADO observer, a Testing Authority or Sample Collection Authority observer, an auditor, or a WADA observer, where applicable under the Agency's Independent Observer Program (ISTI 6.3.3 (d)). The WADA observer shall not directly observe the passing of a urine Sample.

These personnel are required to present the DCO with adequate identification and accreditation upon arrival at the Doping Control Station.

Members of the media are not allowed entry to the Doping Control Station at any time.

4.0 Athlete Selection

The DCO follows the *Athlete* selection policy of the Testing Authority or Sample Collection Authority. This may include one or more of the following:

- *Target Testing* (named *Athletes* or categories)
- Weighted Random Selection or
- Random Selection

Following *Athlete* selection, the DCO ensures the selection decisions are disclosed on a need-to-know basis to ensure No Advance Notice Testing.

4.1.1 Target Testing

For *Target Testing*, the Testing Authority or Sample Collection Authority specifies to the DCO which *Athletes* they require for *Testing*. Selections and/or selection methods are to be clearly communicated to the DCO (e.g. detailing selections in an *ADAMS* mission order).

In some instances, the Testing Authority or Sample Collection Authority may choose to give the DCO discretion to select additional *Athletes* for *Target Testing*.

Such an arrangement is to be agreed upon prior to the Sample Collection Session, and comprehensive guidance provided to the DCO in writing by the Testing Authority or Sample Collection Authority. The DCO doesn't discuss *Target Testing* or the selection criteria with an *Athlete* or Athlete Representative.

See ISTI Article 4.5.2 for factors a Testing Authority or Sample Collection Authority are to consider when selecting *Athletes* for *Target Testing*.

4.1.2 Weighted Random Selection

For weighted Random Selection, the Testing Authority or Sample Collection Authority may specify to the DCO how *Athletes* should be ranked, using pre-determined criteria to increase or decrease the chances of selection to ensure that a greater percentage of 'at risk' *Athletes* are selected.

4.1.3 Random Selection

The Testing Authority or Sample Collection Authority may use one of the following selection criteria for Random Selection.

The selection criteria chosen should be fair, transparent and appropriate for the sport, e.g.:

- Finishing position.
- Vest/jersey number.
- Entry number.
- Lane number.

Once the criteria have been determined, the actual selection method may be one of the following, or any other fair and transparent method of selection:

- Numbered cards placed face-down on a table.
- Random draw of numbers (or names) from a closed container such as a cloth bag.
- Use of an electronic random number generator.

To provide transparency and accountability, Random Selection made in the field may be witnessed by a coach or sporting official, or may be shown to the selected *Athlete* or coach or sporting official if requested, after the *Athlete's* notification.

In addition to determining the selection criteria, the Testing Authority or Sample Collection Authority may wish to put in place certain contingencies for specific scenarios, e.g.:

- A signature on the back of numbered cards;
- Randomly drawing of an additional 'reserve' *Athlete* to be tested in the event that a serious injury inhibits an *Athlete* from conducting *Doping Control*; or
- Putting a contingency in place for 'dead-heats' or disqualifications. All contingencies put in place are to be fully communicated and provided in writing to all relevant Sample Collection Personnel.

5.0 Athlete Notification

The Sample Collection Authority, DCO, or Chaperone, as applicable, performs the following sequence of actions:

1. Establish the location of the selected *Athlete*, and plan the approach and timing of notification, taking into account any specific circumstances of the sport/*Competition*/training session/etc., and the situation, as per No Advance Notice Testing.

The DCO takes into consideration all logistical factors, (e.g. venue-specific, sport-specific, etc.) when planning the appropriate timing and approach for *Athlete* notification. Among the factors to consider:

- Challenges faced in sports with mass finishes.
- The presence of a mixed zone at the venue.
- Using Technical Delegates of the *Competition* to assist in the identifying/confirming final positions.
- Sports where it's common that *Athletes* are *Minors* and/or have an impairment that may require a third party present during notification.

2. The DCO communicates relevant factors to all Sample Collection Personnel in advance.
3. The DCO/Chaperone identifies himself/herself and shows the *Athlete* the official authorization documentation provided by the Testing Authority or Sample Collection Authority that granted the authority to test.

Additional photo ID is carried by the DCO that includes name, photograph, and the documents' expiry date, i.e. ID card from the Sample Collection Authority, driver's license, passport, or similar valid ID.

Chaperones aren't required to provide name or photo ID, but are to produce official authorization documentation provided by the Testing Authority or Sample Collection Authority (e.g. authorization letter).

4. The DCO/Chaperone ensures that the *Athlete* is the first person notified that he/she has been selected for *Sample* collection.

Exceptions:

- The *Athlete* is a *Minor*, has a impairment and/or an interpreter is needed, and the Testing Authority or Sample Collection Authority/DCO/Chaperone considers it a requirement to notify a third party prior to the notification of the *Athlete*.

Any third party notification must be conducted in a secure and confidential manner so that there is no risk that the *Athlete* will receive any advance notice of his/her selection for *Sample* collection. Generally, notification should occur at the end of the *Competition* in which the *Athlete* is competing or as close as possible to the end.

- The DCO/Chaperone requires assistance from a third party (e.g. sport representative) in locating, identifying and/or notifying the *Athlete(s)* selected for *Testing*, due to the DCO/Chaperone being unfamiliar with the *Athlete* or the venue at which the Sample Collection Session is taking place (e.g. *In-Competition Testing* or *Testing* at training camps).

In either scenario, the DCO/Chaperone provides the initial notification directly to the *Athlete* and, where applicable, through an interpreter.

5. The DCO/Chaperone verbally confirms the *Athlete's* identity as per the criteria set by the Testing Authority or Sample Collection Authority and records the form of ID in the *Doping Control* documentation (ISTI Article 5.3.4).

Formal identification:

Formal identification can be established by photo ID, starting number, accreditation, third party Witness, or other viable method as established by the Testing Authority or Sample Collection Authority.

If the *Athlete's* identity is unknown and can't be confirmed, the DCO decides if it is appropriate to follow up in accordance with ISTI Annex A – Investigating a Possible Failure to Comply. The DCO documents this and contacts the Testing Authority or Sample Collection Authority for instructions. DCOs with a cell phone can take a photograph of the *Athlete* and forward the photo with their report.

An *Athlete's* inability to provide photo ID shall not invalidate a test.

6. The DCO/Chaperone shows the *Athlete* the notification form (which may be part of the *Doping Control* form), and then notifies the *Athlete* of the following:
 - a. The *Athlete* has been selected for *Testing* and is required to undergo *Sample* collection.
 - b. The authority conducting the *Sample* collection. (The Testing Authority is the *ADO* that initiated and authorized the Sample Collection Session.)
 - c. The type of *Sample* collection (i.e. urine, blood or both) and any mandatory conditions prior to *Sample* collection, including the requirement for the *Athlete* to provide their *Sample* in direct observation of a DCO/Chaperone.
 - d. The requirement to undergo *Testing* without delay.
 - e. The DCO shall use their discretion if an *Athlete* cannot undergo a test without delay. The DCO/Chaperone shall inform the *Athlete* of the possible *Consequences of Anti-Doping Rule Violations (Consequences)* for failing to submit to urine *Sample Testing*.
 - f. The *Athlete's* rights, including the right to:
 - Have an Athlete Representative present throughout the course of the entire *Sample* collection process (other than *Sample* provision) and, if available, an interpreter.
 - Ask questions and request additional information about the *Sample* collection process.
 - Request a delay in reporting to the Doping Control Station for valid reasons (ISTI Article 5.4.4 (a), (b) and Guidelines Section 5.1.3).
 - Request modifications to the *Sample* collection procedure if the *Athlete* is a *Minor* and/or has an impairment (Guidelines Section 9.0).
 - g. The *Athlete's* responsibilities (Guidelines Section 2.5), including the requirement to:
 - Remain within direct observation of the DCO/Chaperone at all times from the point initial contact is made by the DCO/Chaperone until the completion of the *Sample* collection process.
 - Produce appropriate and valid ID.

- Be familiar and comply with the *Sample* collection procedures. (The *Athlete* should be advised of the possible *Consequences of Failure to Comply*).
 - Report for *Doping Control* immediately unless there are valid reasons for a delay (ISTI Article 5.4.4 (a), (b) and Guidelines Section 4.1.3).
- h. The location of the *Doping Control Station*.
 - i. The *Athlete* consumes food or fluids prior to providing a *Sample* at his/her own risk.
 - j. The *Athlete* is not to hydrate excessively, since this may delay the production of a suitable *Sample*.
 - k. Any urine *Sample* provided by the *Athlete* to the *Sample Collection Personnel* is to be the first urine passed by the *Athlete* subsequent to notification, i.e. he/she should not pass urine in the shower or otherwise, prior to providing a *Sample* to the *Sample Collection Personnel*.
7. The *DCO/Chaperone* provides the *Athlete* notification form to the *Athlete* to read and sign.
 8. If an *Athlete* copy of the official notification record exists, the *DCO/Chaperone* provides it to the *Athlete*.

The *DCO/Chaperone* is to encourage the presence of a third party during the notification process if an *Athlete* is a *Minor* and/or has an impairment, and requests an interpreter and/or *Athlete Representative*

5.1 Reporting Delays

The *DCO* or other authorized *Sample Collection Personnel* documents any reasons for the *Athlete's* delay in reporting to the *Doping Control Station* and/or reasons for leaving the *Doping Control Station* that may require further investigation by the *Testing Authority* and/or *Sample Collection Authority*. Failure of the *Athlete* to remain under constant observation is also recorded in the *DCO* report.

5.1.1 Inability to Locate the Athlete

If a selected *Athlete* is not located based on the available *Whereabouts Filing*, the *DCO* attempts to locate the *Athlete* by other means, based on the circumstances (i.e. the nature of the specified location), with *No Advance Notice Testing* the

method of notification. The DCO contacts the Testing Authority or the Sample Collection Authority for further instructions if he/she is unable to locate the *Athlete*.

If the DCO attempts to locate the *Athlete* for *Out-of-Competition Testing* during a specific 60-minute timeslot designated in the *Athlete's Whereabouts Filing*, the DCO follows the procedures in the ISTI I.4.3 (b) and (c).

To determine what is reasonable in such circumstances, see WADA's Guidelines for Implementing an Effective Athlete Whereabouts Program.

5.1.2 Athlete Failure to Comply

If the *Athlete* refuses to sign that he/she has been notified, or evades notification, the DCO/Chaperone shall make all reasonable attempts to persuade the *Athlete* to comply, including re-informing the *Athlete* of the *Consequences* of refusing or Failure to Comply.

If the *Athlete* continues to refuse, the DCO/Chaperone reports all relevant facts to the DCO immediately, and the DCO attempts to notify the *Athlete*.

If the *Athlete* continues to refuse, the DCO/Chaperone reports all relevant facts to the DCO immediately, and the DCO shall attempt to notify the *Athlete*.

The DCO shall endeavor to obtain Witness signatures to confirm the *Athlete's* refusal, and shall contact the Testing Authority and/or Sample Collection Authority for further instructions as soon as possible.

5.1.3 Requests for Delay or Departure

The DCO may at his/her discretion consider any reasonable third party requirement or *Athlete* request for permission to:

- a. Delay reporting to the Doping Control Station following acknowledgment and acceptance of notification; and/or
- b. Leave the Doping Control Station temporarily after arrival.

Such permission shall only be granted if the *Athlete* can be continuously chaperoned and kept under direct observation during the delay.

Delayed reporting, to and/or temporary departure from, the Doping Control Station may be permitted for the following activities:

In-Competition Testing:

- a. Participation in a presentation ceremony.
- b. Fulfillment of media commitments.
- c. Competing in further *Competitions*.
- d. Performing a warm down.
- e. Obtaining and receiving necessary medical treatment.
- f. Locating a representative and/or interpreter.
- g. Obtaining photo ID.
- h. Any other reasonable circumstances, as determined by the DCO, taking into account any instructions of the Testing Authority.

Out-of-Competition Testing:

- a. Locating an Athlete Representative.
- b. Completing a training session.
- c. Receiving necessary medical treatment.
- d. Obtaining photo identification.
- e. Any other reasonable circumstances, as determined by the DCO, taking into account any instructions of the Testing Authority.

6.0 Athlete Chaperoning

6.1 Prior to Arrival at the Doping Control Station

The DCO/Chaperone ensures the *Athlete* remains under continuous observation from notification to completion of the Sample Collection Session. A DCO/Chaperone may swap with another DCO/Chaperone to maintain continuous observation of the *Athlete*.

6.1.1 Timing of Notification Considerations

It's recommended that the DCO consider in advance relevant sport-specific and venue-specific factors that could affect the timing of notification and the chaperoning process, e.g.:

- Sports in which *Athletes* frequently compete in more than one *Event*, potentially prolonging the chaperoning process; or

- Post-Event activities required to be performed by the *Athlete*, and their timing (i.e. a presentation ceremony or press conference).

6.1.2 Food and Drink Precautions

The DCO/Chaperone can't prevent the *Athlete* eating or drinking products of his/her choice, but is to recommend that the *Athlete* choose from a selection of individually sealed, non-alcoholic beverages to hydrate.

The DCO/Chaperone should not handle food or drink items for the *Athlete*.

6.1.3 Irregularities in Notification and/or Suspicious Behavior

With discretion and without leaving the *Athlete* unattended, the Chaperone is to inform the DCO as soon as possible of any irregularities in notification and/or suspicious *Athlete* behavior during the observation period.

If relevant, the DCO documents the irregularities and determines if Investigating a Possible Failure to Comply (ISTI Annex A) is appropriate, if he/she believes the irregularities and/or suspicious behavior may have compromised the Sample Collection Session.

The Testing Authority is responsible for establishing guidelines for what constitutes suspicious *Athlete* behavior (e.g. by evading observation, ingesting an unidentified substance, making a distressed call to a coach, or other unusual behavior).

The DCO is to attempt to complete the Sample Collection Session.

6.1.4 First Post-Notification Urine Sample

The DCO/Chaperone ensures the *Athlete's* first urine *Sample* post-notification is collected at the Doping Control Station. If the DCO/Chaperone suspects the *Athlete* has urinated prior to arrival at the Doping Control Station, the DCO determines if it is appropriate to:

- Investigating a Possible Failure to Comply (ISTI Annex A); and/or
- Collect an additional *Sample* from the *Athlete*.

6.2 Arrival at the Doping Control Station

Upon the *Athlete's* arrival at the Doping Control Station with a DCO/Chaperone and, if applicable, an Athlete Representative and/or interpreter, the *Athlete* presents photo ID or other means of identification to the DCO.

Inability to provide photo ID doesn't invalidate a test. Alternative methods of *Athlete* identification are outlined in section 5.0 of these Guidelines.

If the *Athlete* is providing a blood *Sample* at the same session, the DCO may request that the *Athlete* provide the blood *Sample* first if the *Athlete* is not ready to provide a urine *Sample*.

Irrespective of the *Testing* type, once the *Athlete* has arrived at the Doping Control Station he/she must be under observation at all times until *Sample* collection is completed.

6.2.1 Entry and Exit

An entry and exit log is maintained to record the names of the persons entering the *Doping Control* facility, their role in the Sample Collection Session, and arrival and departure times, in instances where multiple *Athletes* will be tested in a short period of time.

The *Athlete* may request to temporarily leave the Doping Control Station for a period of time, for reasons defined in Guidelines Section 5.1.3.

If the DCO approves the *Athlete's* request, the DCO shall agree with the *Athlete* on the following conditions of leave:

- a. The purpose of the *Athlete* leaving the Doping Control Station;
- b. The time of return upon completion of an agreed activity;
- c. The *Athlete* must remain under continuous observation throughout; and
- d. The *Athlete* shall not pass urine until he/she returns to the Doping Control Station.

The DCO shall document the time of the *Athlete's* departure and return.

If a Chaperone is not available to escort the *Athlete* immediately, the DCO should ask the *Athlete* to remain in the Doping Control Station until one becomes available

If an *Athlete* insists on leaving the Doping Control Station, without a Chaperone, the DCO is to advise the *Athlete* of the possible Consequences of Failure to Comply, and document the circumstances.

6.2.2 Other Considerations

The *Athlete* shall be provided with the opportunity to hydrate, but advised not to hydrate excessively, due to the requirement to provide a *Sample* with a Suitable Specific Gravity for Analysis.

Before *Sample* collection, the DCO asks the *Athlete* whether he/she has been tested before, and whether he/she requires a detailed explanation of the *Sample* Collection procedure. If the *Athlete* hasn't been tested before, or requests an explanation, the DCO explains the *Sample* collection procedure.

At a minimum, the DCO ensures the *Athlete* is informed of the Sample Collection Session requirements and his/her rights and responsibilities.

7.0 Conducting the Sample Collection Session

7.1 Selection of the Sample Collection Equipment

Selection of Sample Collection Equipment follows this sequence of actions:

1. The *Athlete* is given a choice of *Sample* collection vessels and other Sample Collection Equipment from which to select.

If the *Athlete* has an impairment that requires he/she must use additional or other equipment as provided for in ISTI Annex B – Modifications for *Athletes* with Impairments, the DCO shall inspect that equipment to ensure that it will not affect the identity or integrity of the *Sample*.

2. The *Athlete* and DCO check that all Sample Collection Equipment is clean and that all seals on the selected equipment are intact and have not been tampered with.

Recommended: Provide the *Athlete* with at least 3 Sample Collection Equipment vessels from which to choose.

3. If either the *Athlete* or DCO is not satisfied with the equipment, the *Athlete* should make another selection.
4. If the *Athlete* is not satisfied with any of the equipment, and the DCO doesn't agree with the *Athlete's* opinion that all of the available equipment is unsatisfactory, the DCO instructs the *Athlete* to proceed with the Sample Collection Session.
5. The *Athlete's* views are recorded by the DCO on the *Doping Control* documentation.
6. Should the *Athlete* not wish to proceed with the Sample Collection Session, the DCO advises the *Athlete* of the possible Consequences of Failure to Comply.
7. If both the DCO and the *Athlete* agree that none of the equipment available is satisfactory, the DCO ends the Sample Collection Session, and records the reasons for termination.
8. After the *Athlete* has selected his/her *Sample* collection vessel, the *Athlete* retains control of the vessel until the *Sample* (or partial *Sample*) is sealed, unless assistance is required by reason of an *Athlete's* impairment.

7.2 Sample Provision

The Witness (DCO or Chaperone) who observes the provision of the urine *Sample* by the *Athlete* is to be of the same gender as the *Athlete*, and accompanies the *Athlete* to an area of privacy (e.g. the toilet facility) to collect the *Sample*. The *Athlete* carries his/her *Sample* collection vessel at all times.

Where possible, the DCO ensures the *Athlete*:

- a. Washes his/her hands thoroughly with water only before providing a *Sample*;
or
- b. Wears suitable (e.g., latex) gloves during the provision of the *Sample*.

Once in the *Sample* Collection area the DCO/Chaperone instructs the *Athlete* to remove or adjust any clothing that restricts the DCO's/Chaperone's clear, unobstructed view of *Sample* provision.

The DCO/Chaperone ensures that all urine passed by the *Athlete* at the time of *Sample* provision is collected in the collection vessel.

The DCO advises the *Athlete* of the amount of urine required to meet the Suitable Volume of Urine for Analysis and encourages the *Athlete* to provide a greater volume of urine if possible.

In full view of the *Athlete*, the DCO verifies that the Suitable Volume of Urine for Analysis has been provided.

Should the volume of urine provided by the *Athlete* be insufficient, the DCO follows the partial *Sample* collection procedure detailed in Guidelines Section 7.3.

The DCO escorts the *Athlete* back to the administration area in full view of the Witness if either:

- a. the Suitable Volume of Urine for Analysis requirements (90mL) have been met, or
- b. the *Athlete* has provided an insufficient amount of urine, a partial *Sample*, and is unable to provide any more urine at that time.

In either scenario, the *Athlete* carries his/her own *Sample*, back to the administration area in full view of the Witness. Where possible the *Athlete* is encouraged to wash his/her hands after passing the *Sample*.

The *Sample* is placed in a safe, secure location in full view of both the *Athlete* and the Witness. The Witness then signs the *Doping Control* form to verify that he/she witnessed *Sample* provision in accordance with ISTI procedures.

Sample Collection Personnel are to note if an *Athlete* makes attempts to provide only the bare minimum of urine.

Any unusual behavior by the *Athlete* observed by the Witness during the passing of the *Sample*, is to be discretely reported to the DCO as soon as possible and recorded in the *DCO* report.

7.3 Insufficient *Sample* Volume

If an *Athlete* is unable to provide 90 mL of urine, the DCO follows this sequence of actions:

1. Advises the *Athlete* that the partial *Sample* provided shall be secured and a further *Sample* or *Samples* collected until a Suitable Volume for Urine Analysis is provided.
2. Instructs the *Athlete* to select partial Sample Collection Equipment, as per Guidelines Section 6.1.

Recommended: Provide the *Athlete* with at least 3 partial *Sample Collection* kits from which to select.

3. Instructs the *Athlete* to open the relevant equipment, pour the insufficient *Sample* into the new container (unless the Sample Collection Authority's procedures permit retention of the insufficient *Sample* in the original collection vessel), and seal it as directed by the DCO.
4. In full view of the *Athlete*, checks that the container (or original collection vessel, if applicable) has been properly sealed.
5. With the *Athlete*, checks that the equipment code number, the volume and identity of the insufficient *Sample* are recorded accurately on the *Doping Control* form.
6. With the *Athlete*, initials or signs the *Doping Control* form to show both are satisfied with the temporary sealing procedure.

The *Athlete* then return to the waiting area, and remains under continuous observation until ready to provide a further *Sample*.

Subject to the color or the initial *Testing* of any residue of the *Athlete's* partial urine *Sample*, the *Athlete* should be advised if further hydration is appropriate or not, to avoid providing a *Sample* that doesn't have a Suitable Specific Gravity for Analysis.

Either the *Athlete* or the DCO retains control of the *Sample*.

The DCO ensures that the sealed partial *Sample* is securely stored under continuous observation or in a secure area within the Doping Control Station.

If the *Athlete* retains control of the *Sample*, he/she must remain with the partial *Sample* within the Doping Control Station, under the continuous observation of Sample Collection Personnel.

When the *Athlete* is ready to provide more urine, the *Sample* provision process is repeated until the DCO is satisfied that Suitable Volume for Urine Analysis has been met by combining the subsequent *Sample/s* with the stored partial *Sample*.

To ensure process continuity and for the *Athlete's* comfort, the same Witness of the initial attempt is used if possible. However, a change of Witness in no way affects process integrity.

The *Athlete* selects a new *Sample* collection vessel each time he/she attempts to pass an additional *Sample*.

Once the *Athlete* has provided a further *Sample*, the DCO asks the *Athlete* to inspect the container used to temporarily store his/her their partial *Sample*, to ensure the seals are secure and consistent with the information recorded on the Doping Control form.

Any irregularities in seal integrity are recorded by the DCO, either on the Doping Control form or in a separate report to the Sample Collection Authority, and investigated according to ISTI Annex A - Investigating a Possible Failure to Comply.

The DCO then directs the *Athlete* to remove/break the seal of the partial *Sample* container(s) and combine the *Sample* with the partial *Sample* until the desired volume is reached or, if additional volume is available, until the maximum level of the *Sample* collection vessel is reached.

If a subsequent *Sample* provided by the *Athlete* looks more diluted than the *Sample* stored in the partial *Sample* kit, the DCO is to advise the *Athlete* to pour only the amount of urine required to meet the Suitable Volume for Analysis.

Otherwise there is a risk that the specific gravity of the *Sample* may be reduced to an unacceptable level, which then requires the *Athlete* to provide an additional *Sample* or *Samples*.

Once a minimum of 90 mL of urine or greater is collected, the DCO and *Athlete* proceed with the selection of a *Sample* collection kit containing A and B bottles.

7.4 Dividing and Sealing the *Sample*

The *Athlete* selects from a minimum of three *Sample* collection kits, as per Guidelines Section 6.1.

The *Athlete* and the DCO check the *Sample* collection kit to ensure that the kit numbers correspond to the numbers on the A and B bottles.

If the numbers don't correspond, the DCO instructs the *Athlete* to select a new *Sample* collection kit. The DCO then reports this incident to the Sample Collection Authority. The DCO records the *Sample* collection kit number on the *Doping Control* form, and with the *Athlete*, checks that the number has been accurately recorded.

The *Athlete* pours the required minimum volume of urine into the two bottles: 60mL for the A bottle and 30mL for the B bottle.

7.4.1 Disposal of Excess Urine

If the *Athlete* provided more than the minimum Suitable Volume for Analysis, the DCO ensures that the *Athlete* fills the A bottle to capacity, as recommended by the equipment manufacturer.

For any urine remaining, the DCO instructs the *Athlete* to fill the B bottle to capacity, as recommended by the equipment manufacturer.

Any excess urine is discarded only when both the A and B bottles have been filled to capacity, and the residual urine has been tested for its specific gravity as per Guidelines Section 7.4.2.

The DCO instructs the *Athlete* to leave a small amount of urine in the *Sample* collection vessel. The DCO uses this urine to measure the specific gravity of the *Sample* to ensure it is suitable for Laboratory analysis.

The DCO instructs the *Athlete* to seal the A and B bottles. In full view of the *Athlete*, the DCO checks that the bottles are properly sealed.

Assistance with the pouring of the *Athlete's Sample* or closing of the A and B bottles may be provided by the Athlete's Representative or Sample Collection Personnel in exceptional circumstances, where authorized by the *Athlete* and agreed by the DCO. This assistance should be noted on the *Doping Control* form.

Such situations may involve an *Athlete* with an impairment or with an injury sustained from *Competition* or other activity.

Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with ISTI Article D.4.14 and the residual urine has been

tested in accordance with ISTI Article D.4.16. The *Athlete* is given the option of witnessing the discarding of any residual urine that will not be sent for analysis.

7.4.2 Testing Sample for Suitable Specific Gravity for Analysis

The DCO tests the residual volume of urine remaining in the *Sample* collection vessel to determine if the *Sample* has a Suitable Specific Gravity for Analysis.

The specific gravity measurement must be greater than or equal to 1.005 if using a refractometer, or greater than or equal to 1.010 with lab sticks.

The *Athlete* is given the option of witnessing the discarding of any residual urine that will not be sent for analysis.

If the DCO's specific gravity reading indicates that the *Sample* doesn't have a Suitable Specific Gravity for Analysis, then the DCO informs the *Athlete* that he/she is required to provide a further *Sample*.

The DCO continues to collect additional *Samples* until the requirement for Suitable Specific Gravity for Analysis is met, or until the DCO determines that there are exceptional circumstances, i.e. for logistical reasons it's impossible to continue with the Sample Collection Session.

The *Athlete's* responsible for providing a Sample with a Suitable Specific Gravity for Analysis.

If his/her first *Sample* is too dilute, he/she doesn't need further hydration and is to avoid drinking until a *Sample* with a Suitable Specific Gravity for Analysis is provided.

The DCO is to wait as long as necessary to collect such a *Sample*. The Testing Authority may specify procedures to be followed by the DCO to determine if exceptional circumstances exist that make it impossible to continue with the Sample Collection Session.

While waiting to provide an a further *Sample*, the *Athlete* remains under continuous observation by a DCO/Chaperone.

The *Athlete* is advised not to hydrate excessively, as this may delay the production of a suitable *Sample*. In appropriate circumstances, excessive hydration may be pursued as a violation of *Code Article 2.5 Tampering or Attempted Tampering* with any part of *Doping Control*.

When the *Athlete* can provide an additional *Sample*, the DCO repeats the procedures for *Sample* collection, with the provision of additional *Samples* observed by the same Witness as for the first, if possible. The Witness signs the

relevant documentation to verify that he/she witnessed *Sample* provision in accordance with ISTI procedures. (Guidelines Sections 7.2).

The DCO records that the *Samples* collected belong to a single *Athlete* and the order in which the *Samples* were provided. In conjunction with the Testing Authority, the Laboratory determines which *Samples* shall be analyzed.

The DCO sends all *Samples* collected to the Laboratory for analysis, irrespective of whether or not the *Samples* meet the requirement for Suitable Specific Gravity for Analysis.

The DCO may end the Sample Collection Session if:

- a. None of the *Samples* collected from the *Athlete* meet the requirement for Suitable Specific Gravity for Analysis; and
- b. The DCO determines that for logistical reasons it is impossible to continue.

7.5 Completing the *Doping Control* Form

The DCO instructs the Chaperone to sign the *Doping Control* form to confirm that he/she collected a urine *Sample* from the *Athlete* in accordance with ISTI mandatory procedures.

The DCO requests the *Athlete* to provide information on all medications and/or supplements taken within the time period specified on the *Doping Control* form. The recommended period for medication information is 7 days.

The DCO checks all information on the form with the *Athlete* and the Athlete's Representative to confirm that it accurately reflects the details of the Sample Collection Session, and fills in any incomplete areas in view of the *Athlete*. The Witness then signs to confirm that he/she witnessed the provision of the *Sample* in accordance with ISTI procedures.

If the *Athlete* provided more than one *Sample* and the Witness was not the same individual that witnessed provision of the first *Sample*, the signatures of all Witnesses are required on the *Doping Control* form.

The DCO can require the *Athlete* to provide an additional *Sample* if:

- a. The Witness is unable to verify that he/she observed the passing of the *Sample*;
- b. The Witness reports unusual behavior by the *Athlete*; or
- c. There are doubts as to the origin or authenticity of the *Sample*.

This must be documented by the DCO, and all *Samples* collected sent to the Laboratory for analysis. If appropriate, the Testing Authority may investigate a possible Failure to Comply.

The *Athlete* is given the opportunity to complete the comments section of the form if he/she has any concerns or comments regarding how the Sample Collection Session was conducted. If there is insufficient space on the form, the *Athlete* is provided a supplementary report form.

If present, the Athlete's Representative signs the *Doping Control* form.

The DCO and *Athlete* then sign the *Doping Control* form.

The DCO provides the *Athlete* with a full copy of the *Doping Control* form, the supplementary report form (if used) and any other documentation signed by the *Athlete*.

Unless also required to provide a blood *Sample*, the *Athlete* can leave the Doping Control Station.

If an *Athlete* is also required to provide a blood *Sample*, and the *Doping Control* form records both blood and urine collection, the paperwork will not be fully completed until after collection of both blood and urine *Samples*.

A comprehensive list of the information to be recorded on the form at a minimum is provided in ISTI Article 7.4.5.

8.0 **Sample Storage and Laboratory Documentation**

The Sample Collection Authority defines criteria ensuring that each *Sample* collected is stored in a manner that protects its identity, integrity and security prior to transport from the Doping Control Station.

At a minimum, these criteria should include detailing and documenting up until the *Sample* arrives at its intended destination, the location where *Samples* are stored; how the *Samples* are stored; who has custody of the *Samples*; and/or who is permitted access to the *Samples*. The DCO ensures that any *Sample* stored complies with these criteria.

The DCO shall keep the *Samples* secure and under his/her control until they are passed to the courier.

Where possible, *Samples* are to be stored in a cool environment, with warm conditions avoided.

The DCO completes the appropriate documentation for each transport bag/container to ensure that the Laboratory can verify the contents, and follows the

Sample Collection Authority's system to ensure that analysis instructions (e.g. type of analysis to be done) are provided.

The DCO completes the Laboratory advice form/Chain of Custody form, and if relevant, records the time(s) the transport bag is opened and resealed.

The Laboratory copy of this form and the *Doping Control* form are placed in the transport bag/container with the *Samples*. The transport bag is then sealed, preferably in the presence of a Witness.

The minimum level of documentation the Sample Collection Authority provides to the Laboratory is outlined in ISTI Articles 7.4.5 c), f), h), j), k), l), o), p), q), y), z) and aa) for result reporting and statistical purposes.

Documentation identifying the *Athlete* is not included with the *Samples* or documentation sent to the Laboratory analyzing the *Samples*.

All documentation relevant to the Sample Collection Session should be forwarded to the Sample Collection Authority by the approved method as soon as practicable upon completion of the Sample Collection Session.

Documentation related to a Sample Collection Session and/or an anti-doping rule violation shall be stored by the Testing Authority and/or the Sample Collection Authority for the period specified in the ISPPPI.

9.0 Transport of *Samples*

The DCO is responsible for *Sample* transport and ensures the transport procedure follows ISTI Article 9.0 criteria.

Samples shall be transported in a device that maintains the integrity of *Samples* and minimizes the potential for *Sample* degradation due to factors such as time delays and extreme temperature variations.

If the *Samples* are not to be handed over to the courier immediately and subsequently transported to the nearest Laboratory without delay, the DCO is to consider refrigerating or freezing the *Samples* to minimize *Sample* degradation due to factors like time delays and hot temperature conditions.

Samples may be taken directly to the Laboratory by the DCO, or handed over to a third party for transportation. This third party must document the Chain of Custody of the *Samples*. If an approved courier company is used to transport the *Samples*, the DCO should record the waybill number of the shipment.

9.1 Receipt of *Samples* by the Laboratory

Laboratories are required to document receipt and the subsequent Chain of Custody of Samples.

Samples are reviewed for evidence of *Tampering* or damage, and stored in appropriate conditions, in accordance with the ISL.

If the *Samples* with accompanying documentation or the Sample Collection Session documentation are not received at their respective intended destinations, or if a *Sample's* integrity or identity may have been compromised during transport, the Sample Collection Authority and Testing Authority shall check the Chain of Custody, and the Testing Authority shall consider if the *Samples* should be voided.

10.0 Modifications for *Athletes*

10.1 Overview

Athletes with an impairment or who are *Minors* may require modifications to the *Sample* collection procedure. The modifications outlined below do not affect the identity, security or integrity of the *Sample*.

The Sample Collection Authority is responsible for ensuring, when possible, that the DCO is provided with information necessary to conduct a Sample Collection Session with an *Athlete* with an impairment or who is a *Minor*.

The DCO has the authority to make modifications to the Sample Collection Session as the situation requires, in accordance with ISTI Annex B - Modifications for *Athletes* with Impairments or Annex C - Modifications for *Athletes* who are *Minors*.

In some cases, with the DCO's agreement, the *Athlete* may designate the Athlete Representative, or the DCO/Chaperone to assist with the *Sample* collection and sealing process. The DCO documents any modifications made to the standard *Sample* collection procedure.

10.2 *Athletes* With an Impairment

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

The Sample Collection Authority and DCO have the authority to make modifications as the situation requires, and as long as such modifications will not compromise the *Sample's* identity, security or integrity. All the modifications must be documented.

For example, *Athletes* with Cerebral Palsy and/or significant lack of coordination may require the use of larger collection vessels, if available.

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

For example it may be appropriate for an *Athlete* with an intellectual impairment to obtain consent to *Testing* from his/her Athlete Representative.

Athletes with an intellectual, physical or sensorial impairment may be assisted by the Athlete's Representative or Sample Collection Personnel during the *Sample* collection procedure, including in the toilet area. However, the Athlete Representative shall not directly observe the passing of the *Sample*. The objective is to ensure that the Witness is observing *Sample* provision correctly.

If necessary, the Athlete Representative or the DCO explains the *Doping Control* documentation to the *Athlete*.

Athletes with a visual or intellectual impairment must be accompanied by their representative for the *Sample* provision and sealing, and the signing of the *Doping Control* form. The Athlete Representative should sign on behalf of/in addition to the *Athlete*, as applicable.

10.2.1 Urine Collection or Drainage Systems

Athletes who use urine collection or drainage systems (of every type including but not limited to self-catheterization, condom or indwelling) are required to eliminate existing urine from such systems before providing a urine *Sample* for analysis.

Elimination of existing urine from a collection system should be conducted as soon as possible following the *Athlete's* notification of his/her selection for *Doping Control*. Elimination must be conducted under the DCO's/Chaperone's direct observation.

Where possible, the existing urine collection or drainage system should be replaced with a new, unused catheter or drainage system prior to the *Sample* collection.

The catheter or drainage system is not included in the required Sample Collection Equipment to be provided by the Sample Collection Authority. The *Athlete* is responsible for having the necessary equipment available for this purpose.

Athletes who use a urine collection or drainage system and who may be subject to *Testing* should be advised by the relevant Testing Authority of the need to always carry with them a new, unused catheter or drainage system in case they are selected for *Testing*.

10.3 Athletes Who Are Minors

The Testing Authority confirms, where necessary, that the *Event* organizer obtains the necessary parental consent for *Testing* any participating *Athlete* who is a *Minor*.

For *Out-of-Competition Testing* of an *Athlete* who is a *Minor*, the preferred venue is a location where the presence of an adult is most likely, e.g. a training venue.

Athletes who are *Minors* should be notified in the presence of an adult and may choose to be accompanied by an Athlete Representative at all times during the *Sample* Collection Session, including the *Sample* provision in the toilet area.

However, the Athlete Representative doesn't directly observe the passing of the *Sample*, unless requested to do so by the *Athlete*. The objective is to ensure that the Witness is observing *Sample* provision correctly. Even if the *Minor* declines an Athlete Representative, the Sample Collection Authority, DCO or Chaperone, as applicable, should consider whether another third party ought to be present during notification of and/or during the collection of the *Sample* from the *Athlete*.

Should an *Athlete* who is a *Minor* decline to have an Athlete Representative present during the Sample Collection Session, this shall be clearly documented by the DCO. Failure to do so does not invalidate the test.

If a *Minor* declines the presence of a representative, a Third Party representative of the Sample Collection Personnel must be present.

If necessary, the DCO/Chaperone explains the *Doping Control* documentation and *Athlete's* rights and responsibilities to the *Athlete* and the Athlete Representative.

If an *Athlete* who is a *Minor* is accompanied to the Sample Collection Session, the Athlete Representative is to sign the *Doping Control* form on behalf of/in addition to the *Athlete*.

11.0 Ownership of Samples

Samples collected from an *Athlete* are owned by the Testing Authority for the Sample Collection Session in question.

The Testing Authority may transfer ownership of the *Samples* to the Results Management Authority (RMA) or to another *ADO* upon request.

12.0 Definitions

12.1 2015 Code Defined Terms

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

Anti-Doping Organization (ADO): A *Signatory* that is responsible for adopting rules for initiating, implementing or enforcing any part of the *Doping Control* process. This includes, for example, the International Olympic Committee, the International Paralympic Committee, other *Major Event Organizations* that conduct *Testing* at their *Events*, WADA, International Federations, and *National Anti-Doping Organizations*.

Athlete: Any *Person* who competes in sport at the international level (as defined by each International Federation) or the national level (as defined by each *National Anti-Doping Organization*). An *Anti-Doping Organization* has discretion to apply anti-doping rules to an *Athlete* who is neither an *International-Level Athlete* nor a *National-Level Athlete*, and thus to bring them within the definition of "Athlete." In relation to *Athletes* who are neither *International-Level* nor *National-Level Athletes*, an *Anti-Doping Organization* may elect to: conduct limited *Testing* or no *Testing* at all; analyze *Samples* for less than the full menu of *Prohibited Substances*; require limited or no whereabouts information; or not require advance *TUEs*. However, if an Article 2.1, 2.3 or 2.5 anti-doping rule violation is committed by any *Athlete* over whom an *Anti-Doping Organization* has authority who competes below the international or national level, then the *Consequences* set forth in the *Code* (except Article 14.3.2) must be applied. For purposes of Article 2.8 and Article 2.9 and for purposes of anti-doping information and education, any *Person* who participates in sport under the authority of any *Signatory*, government, or other sports organization accepting the *Code* is an *Athlete*.

[Comment to Athlete: This definition makes it clear that all International- and National-Level Athletes are subject to the anti-doping rules of the Code, with the precise definitions of international- and national-level sport to be set forth in the anti-doping rules of the International Federations and National Anti-Doping Organizations, respectively. The definition also allows each National Anti-Doping Organization, if it chooses to do so, to expand its anti-doping program beyond International- or National-Level Athletes to competitors at lower levels of Competition or to individuals who engage in fitness activities but do not compete at all. Thus, a National Anti-Doping Organization could, for example, elect to test

recreational-level competitors but not require advance TUEs. But an anti-doping rule violation involving an Adverse Analytical Finding or Tampering, results in all of the Consequences provided for in the Code (with the exception of Article 14.3.2). The decision on whether Consequences apply to recreational-level Athletes who engage in fitness activities but never compete is left to the National Anti-Doping Organization. In the same manner, a Major Event Organization holding an Event only for masters-level competitors could elect to test the competitors but not analyze Samples for the full menu of Prohibited Substances. Competitors at all levels of Competition should receive the benefit of anti-doping information and education.]

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

Code: The World Anti-Doping Code.

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

Consequences of Anti-Doping Rule Violations (“Consequences”), : An *Athlete’s* or other *Person’s* violation of an anti-doping rule may result in one or more of the following: (a) Disqualification means the *Athlete’s* results in a particular *Competition* or *Event* are invalidated, with all resulting *Consequences* including forfeiture of any medals, points and prizes; (b) Ineligibility means the *Athlete* or other *Person* is barred on account of an anti-doping rule violation for a specified period of time from participating in any *Competition* or other activity or funding as provided in Article 10.12.1; (c) Provisional Suspension means the *Athlete* or other *Person* is barred temporarily from participating in any *Competition* or activity prior to the final decision at a hearing conducted under Article 8; (d) Financial Consequences means a financial sanction imposed for an anti-doping rule violation or to recover costs associated with an anti-doping rule violation; and (e) Public Disclosure or Public Reporting means the dissemination or distribution of information to the general public or *Persons* beyond those *Persons* entitled to earlier notification in accordance with Article 14. Teams in *Team Sports* may also be subject to *Consequences* as provided in Article 11.

Doping Control: All steps and processes from test distribution planning through to ultimate disposition of any appeal including all steps and processes in between such

as provision of whereabouts information, *Sample* collection and handling, laboratory analysis, *TUEs*, results management and hearings.

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

In-Competition: Unless provided otherwise in the rules of an International Federation or the ruling body of the *Event* in question, “*In-Competition*” means the period commencing twelve hours before a *Competition* in which the *Athlete* is scheduled to participate through the end of such *Competition* and the *Sample* collection process related to such *Competition*.

[*Comment: An International Federation or ruling body for an Event may establish an "In-Competition" period that is different than the Event Period.*]

Independent Observer Program (IO): A team of observers, under the supervision of WADA, who observe and provide guidance on the *Doping Control* process at certain *Events* and report on their observations.

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

Minor: A natural *Person* who has not reached the age of eighteen years.

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

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

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

[*Comment: It has sometimes been claimed that the collection of blood Samples violates the tenets of certain religious or cultural groups. It has been determined that there is no basis for any such claim.*]

Tampering: Altering for an improper purpose or in an improper way; bringing improper influence to bear; interfering improperly; obstructing, misleading or engaging in any fraudulent conduct to alter results or prevent normal procedures from occurring.

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

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

WADA: The World Anti-Doping Agency.

12.2 ISTI Defined Terms

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

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

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

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

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

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

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

Results Management Authority (RMA): The organization that is responsible, in accordance with *Code* Article 7.1, for the management of the results of *Testing* (or other evidence of a potential anti-doping rule violation) and hearings, whether (1) an *Anti-Doping Organization* (for example, the International Olympic Committee or other *Major Event Organization*, WADA, an International Federation, or a *National Anti-Doping Organization*); or (2) another organization acting pursuant to the authority of and in accordance with the rules of the *Anti-Doping Organization* (for example, a National Federation that is a member of an International Federation). In respect of Whereabouts Failures, the Results Management Authority shall be as set out in Article I.5.1.

Sample Collection Authority: The organization that is responsible for the collection of *Samples* in compliance with the requirements of the International Standard for Testing and Investigations, whether (1) the Testing Authority itself; or (2) another organization (for example, a Third Party contractor) to whom the Testing Authority has delegated or sub-contracted such responsibility (provided that the Testing Authority always remains ultimately responsible under the *Code* for compliance with the requirements of the International Standard for Testing and Investigations relating to collection of *Samples*).

Sample Collection Equipment: Containers or apparatus used to collect or hold the *Sample* at any time during the Sample Collection Session. Sample Collection Equipment shall, as a minimum, consist of:

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

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

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

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 90 mL, whether the laboratory will be analysing the *Sample* for all or only some *Prohibited Substances* or *Prohibited Methods*.

Testing Authority: The organization that has authorized a particular *Sample* collection, whether (1) an *Anti-Doping Organization* (for example, the International Olympic Committee or other *Major Event Organization*, WADA, an International

Federation, or a *National Anti-Doping Organization*); or (2) another organization conducting *Testing* pursuant to the authority of and in accordance with the rules of the *Anti-Doping Organization* (for example, a National Federation that is a member of an International Federation).

Whereabouts Filing: Information provided by or on behalf of an *Athlete* in a *Registered Testing Pool* that sets out the *Athlete's* whereabouts during the following quarter, in accordance with Article I.3 of the International Standard for Testing and Investigations.

12.3 ISL Defined Terms

Laboratory(ies): (A) WADA-accredited laboratory(ies) applying test methods and processes to provide evidentiary data for the detection of *Prohibited Substances, Methods* or *Markers* on the *Prohibited List* and, if applicable, quantification of a Threshold Substance in *Samples* of urine and other biological matrices in the context of anti-doping activities.

12.4 Guideline Terms

Athlete Representative: A person designated by the *Athlete* to assist with the verification of the *Sample* collection procedure, (not including the passing of the *Sample*). This person may be a member of the *Athlete's Support Personnel*, such as a coach or team doctor, a family member, or other. For *In-Competition Testing* the Athlete Representative must have the appropriate accreditation to access the Doping Control Station.

Witness: The member of Sample Collection Personnel who observes the passing of the *Sample* by the *Athlete* in accordance with the procedures for observation.