



# **2018 UIPM**

## **Anti-Doping Procedures**

*(Effective as at 1<sup>st</sup> January 2018)*

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## **PART ONE: TESTING SPECIFIC DEFINITIONS AND SCOPE**

### **Article 1 Testing Specific Definitions**

Blood Collection Officer (or BCO): An official who is qualified and has been authorized by the Sample Collection Authority to collect a blood *Sample* from an *Athlete*.

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.

Code Article 2.4 Whereabouts Requirements: The whereabouts requirements set out in Annex I of the International Standard for Testing and Investigations (ISTI), which apply to *Athletes* who are included in the Registered Testing Pool of an International Federation or a *National Anti-Doping Organization*.

Doping Control Officer (or DCO): An official who has been trained and authorized by the Sample Collection Authority to carry out the responsibilities given to DCOs in the ISTI.

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 UIPM Anti-Doping Rules Articles 2.3 and/or 2.5.

Filing Failure: A failure by the *Athlete* (or by a third party to whom the *Athlete* has delegated the task) to make an accurate and complete Whereabouts Filing that enables the *Athlete* to be located for *Testing* at the times and locations set out in the Whereabouts Filing or to update that Whereabouts Filing where necessary to ensure that it remains accurate and complete.

In-Competition Date: As defined in Article 7.3.3 hereto.

Missed Test: A failure by the *Athlete* to be available for *Testing* at the location and time specified in the 60-minute time slot identified in his/her Whereabouts Filing for the day in question.

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: 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 of the ISTI.

Sample Collection Authority: The organisation that is responsible for the collection of *Samples* in compliance with the requirements of the ISTI, whether (1) the Testing Authority itself; or (2) another organization (for example, a third party contractor) to whom the Testing Authority has delegated or subcontracted such responsibility (provided that the Testing Authority always remains ultimately responsible under the *Code* for compliance with the requirements of the ISTI 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*.

Team Activity/Activities: Sporting activities carried out by *Athletes* on a collective basis as part of a team (e.g., training, travelling, tactical sessions) or under the supervision of the team (e.g., treatment by a team doctor).

Test Distribution Plan: A document written by an *Anti-Doping Organization* that plans *Testing* on *Athletes* over whom it has Testing Authority, in accordance with the requirements of Article 4 of the ISTI.



**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 organisation conducting *Testing* pursuant to the authority of and in accordance with the rules of the *Anti-Doping Organisation* (for example, a National Federation that is a member of an International Federation).

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

**Whereabouts Failure:** A Filing Failure or a Missed Test.

**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 1.3 of the ISTI.

## **Article 2      Scope**

2.1 All *Athletes* and Horses participating in or preparing for UIPM competitions listed in Article 1.7 UIPM Competition Rules are subject to *Doping Controls* (urine *Samples*, blood tests and other authorised techniques for detecting *Prohibited Substances* or *Methods*) *In-Competition* and *Out-of-Competition*.

## **PART TWO: STANDARDS FOR TESTING**

### **Article 3      UIPM Test Distribution Plan**

3.1 A UIPM Test Distribution Plan is set up by the UIPM Medical Committee for each calendar year.

3.2 The UIPM is obliged under the *Code* to plan, conduct and document an effective number of *In-Competition* and *Out-of-Competition* tests on athletes over whom it has jurisdiction, including but not limited to *Athletes* in its Registered Testing Pool. The UIPM Test Distribution Plan is based on the evaluation of the potential risk of doping and possible doping pattern in Modern Pentathlon, Modern Biathlon and Modern Triathlon considering the physical and other demands of the UIPM sports, in particular the physiological requirements of the sport; possible performance-enhancing effect that doping may elicit; the rewards available at the different levels of the UIPM sports; discipline(s) and/or other potential incentives for doping; available doping analysis statistics, intelligence gathering, monitoring and follow-up; available research on doping trends; information received/intelligence developed on possible doping practices in the sports; the outcomes of previous test distribution planning cycles; the history of doping in the UIPM sports and respective assessment; potential doping patterns in the UIPM sports; career analysis, training periods and the competition calendar; and information received on possible doping practices.

3.3 The UIPM Test Distribution Plan is regularly reviewed and adapted to reflect new information gathered and intelligence developed by the UIPM, and to take into account *Testing*

conducted by other *Anti-Doping Organisations*. This review will take place in agreement with WADA.

3.4 The UIPM Test Distribution Plan ensures that a significant amount of *Testing* of its *Athletes*, irrespective of whether they belong to the UIPM Registered Testing Pool or not, is undertaken as *Target Testing*. The factors that will be relevant to determining who shall be made subject to target testing by the UIPM shall be:

- Abnormal biological parameters;
- Injury;
- Withdrawal or absence from expected *Competition*;
- Going into or coming out of retirement;
- Behaviour indicating doping;
- Sudden major improvements in performance;
- Repeated failure to provide Whereabouts Filings;
- Whereabouts Filings that may indicate a potential increase in the risk of doping, including moving to a remote location;
- *Athlete* sport performance history;
- *Athlete* age;
- *Athlete* test history;
- *Athlete* serving a period of *Ineligibility* or a *Provisional Suspension*;
- *Athlete* who was high priority for *Testing* before he/she retired from the sport and who now wishes to return from retirement to active participation in the sport;
- *Athlete* reinstatement after a period of *Ineligibility*;
- Financial incentives for improved performance;
- *Athlete* association with a third party such as coach or doctor with a history of involvement in doping; and reliable information from a third party or intelligence developed by or shared with other *Anti-Doping Organization* in accordance with Section 11.0 ISTI;
- Intelligence that may be received by the UIPM or any other reason at the discretion of the UIPM.

3.5 The UIPM Test Distribution Plan will identify laboratories for analysis of the *Samples* which have been collected in a manner that is tailored to the particular circumstances of the UIPM sports. The UIPM will incorporate into its Test Distribution Plan a strategy for retention of *Samples* and the documentation relating to the collection of such *Samples* so as to enable the further analysis of such *Samples* at a later date in accordance with the *Code*, the International Standard for Laboratories and the International Standard for the Protection of Privacy and Personal Information, and shall take into account the purposes of analysis of *Samples*, as well as (without limitation) the following elements:

- Laboratory recommendations;
- The possible need for retroactive analysis in connection with the *Athlete Biological Passport* program;
- New detection methods to be introduced in the near future relevant to the *Athlete* and sports, and
- *Samples* collected from *Athletes* meeting some or all of the 'high risk' criteria.

3.6 Without any notice at any time and at any place, the UIPM has the right to carry out *Doping Controls*, with and without the assistance of WADA, of *Athletes*, including banned or suspended *Athletes*, and horses of UIPM members or who participate at UIPM *Competitions*. The members are required to support the work of the UIPM, especially in pre-



senting the selected *Athletes* and horses and providing all necessary information, including on their training schedules giving date and place, as requested by the UIPM Headquarters by using ADAMS as far as reasonable and feasible. This right of the UIPM relates to all sports practiced within UIPM.

- 3.7 As a general rule Out of Competition *Testing* should take place between 5 a.m. and 11 p.m. unless valid grounds exist for *Testing* overnight, the fundamental principle remains that an *Athlete* may be required to provide a *Sample* at any time and at any place by the UIPM, whether or not the selection of the *Athlete* for *Testing* is in accordance with such criteria. Accordingly, an *Athlete* may not refuse to submit to *Sample* collection on the basis that such *Testing* is not provided for in the UIPM's Test Distribution Plan and/or is not being conducted between 5 a.m. and 11 p.m., and/or that the *Athlete* does not meet the relevant selection criteria for *Testing* or otherwise should not have been selected for *Testing*.
- 3.8 Save in exceptional and justifiable circumstances, all *Testing* shall be No Advance Notice Testing. The UIPM will ensure that *Athlete* selection decisions are only disclosed in advance of *Testing* to those who need to know in order for such *Testing* to be conducted.

#### **Article 4 UIPM Registered Testing Pool, UIPM Testing pool and Whereabouts Filing**

- 4.1 The 15 top ranked *Athletes* -men and women- on the World Ranking List in Modern Pentathlon as of 1 January each year, the gold medal winners at the previous World Championships and Olympic Games, if not included among the 15 under (i) above, and the World Champions male and female in Biathlon and Triathlon shall be considered for the UIPM Registered Testing Pool or UIPM Testing pool. Also *Athletes* who are serving periods of *Ineligibility* as a result of committing (an) Anti-Doping Rule violation(s) and those UIPM *Athletes* who retired at a time when they were in the UIPM Registered Testing Pool and who wish to return from that period of retirement to active participation in the sport are part of the UIPM Registered Testing Pool. The UIPM may also include in the UIPM Registered Testing Pool or UIPM Testing pool those *Athletes* whom it wishes target test. The UIPM will notify each *Athlete* designated for inclusion in the UIPM Registered Testing Pool or UIPM Testing pool -either directly or through the respective National Federation- of the fact that the *Athlete* has been designated for inclusion, of the whereabouts requirements ensuing from this inclusion and of the potential consequences if the *Athlete* fails to comply with these requirements.
- 4.2 An *Athlete* included in the UIPM Registered Testing Pool or its agent (coach, manager, National Federation) is subject to confirmation of the *Athlete's* consent to the sharing of his/her Whereabouts Filing with other *Anti-Doping Organizations* that have *Testing* authority over him/her, to notification of the details of any impairment of the *Athlete* that may affect the procedure to be followed in conducting a Sample Collection Session, and the whereabouts requirements set out in the ISTI. They must file by 31 December, 31 March, 30 June, 30 September each year accurate and complete information about the *Athlete's* Whereabouts during the forthcoming quarter, including identifying by using ADAMS, for each day during the following quarter: the full address of the place where the *Athlete* will be staying overnight (e.g., home, temporary lodgings, hotel, etc.); for each day during the following quarter, the name and address of each location where the *Athlete* will train, work or conduct any other regular activity (e.g. school), as well as the usual timeframes for such regular activities; and the *Athlete's* *Competition* schedule for the following quarter, including the name and address of each location where the *Athlete* is scheduled to compete during the quarter and the date(s) on which he/she is scheduled



to compete at such location(s). A failure to do so amounts to a Filing Failure and shall constitute Whereabouts Failure.

- 4.3 An *Athlete* included in the UIPM Registered Testing Pool or its agent is also required to specify in their Whereabouts Filing, for each day in the forthcoming quarter, one specific 60-minute time slot between 5 am and 11 pm where the *Athlete* will be available at a specified location for *Testing*. This does not limit in any way the *Athlete*'s obligation to be available for *Testing* at any time and place. Nor does it limit the *Athlete*'s obligation to provide the Whereabouts Filings as to the *Athlete*'s whereabouts outside of that 60-minute time slot. However, if the *Athlete* is not available for *Testing* at such location during the 60-minute time slot specified for that day in the *Athlete*'s Whereabouts Filings, and has not updated this Whereabouts Filings prior to that 60-minute time slot to provide an alternative time slot/location for that day, that failure shall amount to a Missed Test and may, following the appropriate results management process, constitute a Whereabouts Failure. To ensure fairness to the *Athlete*, where an unsuccessful attempt has been made to test an *Athlete* during one of the 60-minute time slots specified in his/her Whereabouts Filing, any subsequent unsuccessful attempt to test that *Athlete* (by the same or any other *Anti-Doping Organization*) during one of the 60-minute time slots specified in his/her Whereabouts Filing may only be counted as a Missed Test (or, if the unsuccessful attempt was because the information filed was insufficient to find the *Athlete* during the time slot, as a Filing Failure) against that *Athlete* if that subsequent attempt takes place after the *Athlete* has received notice, in accordance with Article I.5.2(d) of the ISTI, of the original unsuccessful attempt.
- 4.4 It is the *Athlete*'s responsibility to ensure that he/she provides all of the information required in a Whereabouts Filing accurately and in sufficient detail to enable any *Anti-Doping Organization* wishing to do so to locate the *Athlete* for *Testing* on any given day in the quarter at the times and locations specified by the *Athlete* in his/her Whereabouts Filing for that day, including but not limited to during the 60-minute time slot specified for that day in the Whereabouts Filing. More specifically, the *Athlete* must provide sufficient information to enable the DCO to find the location, to gain access to the location, and to find the *Athlete* at the location. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of *Sample* collection under UIPM Anti-Doping Rules Article 2.3, and/or *Tampering* or *Attempted Tampering* under UIPM Anti-Doping Rules Article 2.5. In any event, the UIPM will consider *Target Testing* the *Athlete*. If the *Athlete* is tested during such a time slot, the *Athlete* must remain with the DCO until the *Sample* collection has been completed, even if this takes longer than the 60-minute time slot. A failure to do so may be pursued as an apparent violation of UIPM Anti-Doping Rules Article 2.3 (refusal or failure to submit to *Sample* collection).
- 4.5 Where a change in circumstances means that the information in a Whereabouts Filing is no longer accurate or complete, the *Athlete* must file an update so that the information on file is again accurate and complete. In particular, the *Athlete* must always update his/her Whereabouts Filing to reflect any change in any day in the quarter in question in the time or location of the 60-minute time slot and/or in the place where he/she is staying overnight. The *Athlete* must file the update as soon as possible after the circumstances change, and in any event prior to the 60-minute time slot specified in his/her filing for the day in question. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of *Sample* collection under UIPM Anti-Doping Rules Article 2.3, and/or *Tampering* or *Attempted Tampering* under UIPM Anti-Doping Rules Article 2.5. In any event, the UIPM will consider *Target Testing* the *Athlete*.



- 4.6 Any *Athlete* who provides fraudulent information in their *Whereabouts Filing*, whether in relation to their location during the specified daily 60-minute time slot, or in relation to their whereabouts outside that time slot, or otherwise, may be pursued for committing an Anti-Doping Rule violation (*Tampering or Attempted Tampering*).
- 4.7 In case of delegation of the *Athlete's Whereabouts Filings*, each *Athlete* in the UIPM Registered Testing Pool remains ultimately responsible at all times for the accuracy and completeness of the *Whereabouts Filings*. It shall not be a defence to an allegation of a *Filing Failure* that the *Athlete* delegated such responsibility to a third party and that third party failed to comply with the applicable requirements.
- 4.8 Each *Athlete* in the UIPM Registered Testing Pool remains personally responsible at all times for ensuring that he/she is available for testing at the whereabouts declared on the *Athlete's Whereabouts Filings*, whether the *Athlete* made that filing personally or delegated it to a third party or a combination of the two. It shall not be a defence to an allegation of a *Missed Test* that the *Athlete* had delegated responsibility for filing their whereabouts information for the relevant period to a third party and that third party had failed to file the correct information or failed to update previously-filed information so as to ensure that the whereabouts information in the *Whereabouts Filing* for the day in question was current and accurate.
- 4.9 An *Athlete* /National Team included in UIPM Testing pool is required to comply with the UIPM whereabouts requirements. *Athletes* shall be notified through their National Federations before they are included in the Testing Pool and when they are removed from that pool.
- 4.10 Each *Athlete* in the Testing Pool shall provide to UIPM at least the following information:
- a) An up-to-date mailing and e-mail address,
  - b) Training whereabouts (including usual training venue/s addresses and usual timing of the training) and
  - c) All national team activities (including training, camps and matches with accurate schedules and addresses)
- 4.11 The *Athletes* included in the Testing Pool shall provide the information described in Article 4.10 above on a regular basis, and by the relevant deadline – 31<sup>st</sup> December, 31<sup>st</sup> March, 30<sup>th</sup> June and 30<sup>th</sup> September. The collection of whereabouts information shall be coordinated with the National Federation and the *National Anti-Doping Organisation*. UIPM may allocate the responsibility to collect Testing Pool *Athlete* Whereabouts Information to its National Federations. Any *Athlete* included in the UIPM Testing Pool who fails to comply with the requirements set for in article 4.10 above, will be automatically included into UIPM Registered testing pool with all requirements and consequences.
- 4.12 An *Athlete* in the UIPM Registered Testing Pool may only be declared to have committed a *Filing Failure* where the UIPM Doping Review Panel establishes each of the following:
- that the *Athlete* was duly notified (i) that he/she had been designated for inclusion in a Registered Testing Pool; (ii) of the consequent requirement to make *Whereabouts Filings*; and (iii) of the consequences of any *Failure to Comply* with such requirement;

- that the *Athlete* failed to comply with that requirement by the applicable deadline;
  - (in the case of a second or third Filing Failure in the same quarter) that he/she was given due notice of the previous Filing Failure, and (if that Filing Failure revealed deficiencies in the Whereabouts Filing that would lead to further Filing Failures if not rectified) was advised in the notice that in order to avoid a further Filing Failure he/she must file the required Whereabouts Filing (or update) by the deadline specified in the notice (which must be no less than 24 hours after receipt of the notice and no later than the end of the month in which the notice is received) and yet failed to rectify that Filing Failure by the deadline specified in the notice; and
  - that the *Athlete's* Failure to Comply was at least negligent. For these purposes, the *Athlete* will be presumed to have committed the failure negligently upon proof that he/she was notified of the requirements, yet failed to comply with them. That presumption may only be rebutted by the *Athlete* establishing that no negligent behaviour on his/her part caused or contributed to the failure.
- 4.13 To ensure fairness to the *Athlete*, where an unsuccessful attempt has been made to test an *Athlete* during one of the 60-minute time slots specified in his/her Whereabouts Filing, any subsequent unsuccessful attempt to test that *Athlete* (by the UIPM or any other *Anti-Doping Organization*) during one of the 60-minute time slots specified in his/her Whereabouts Filing may only be counted as a Missed Test (or, if the unsuccessful attempt was because the information filed was insufficient to find the *Athlete* during the time slot, as a Filing Failure) against that *Athlete* if that subsequent attempt takes place after the *Athlete* has received due notice of the original unsuccessful attempt.
- 4.14 An *Athlete* may only be declared to have committed a Missed Test where the UIPM Doping Review Panel can establish each of the following:
- (i) that when the *Athlete* was given notice that he/she had been designated for inclusion in a Registered Testing Pool, he/she was advised that he/she would be liable for a Missed Test if he/she was unavailable for *Testing* during the 60-minute time slot specified in his/her Whereabouts Filing at the location specified for that time slot;
  - (ii) that a DCO attempted to test the *Athlete* on a given day in the quarter, during the 60-minute time slot specified in the *Athlete's* Whereabouts Filing for that day, by visiting the location specified for that time slot;
  - (iii) that during that specified 60-minute time slot, the DCO did what was reasonable in the circumstances (i.e. given the nature of the specified location) to try to locate the *Athlete*, short of giving the *Athlete* any advanced notice of the test;
  - (iv) that Article 4.13 above does not apply or (if it applies) was complied with; and
  - (v) that the *Athlete's* failure to be available for *Testing* at the specified location during the specified 60-minute time slot was at least negligent. For these purposes, the *Athlete* will be presumed to have been negligent upon proof of the matters set out in i to iv) above. That presumption may only be rebutted by the *Athlete* establishing that no negligent behaviour on his/her part caused or contributed to his/her failure (i) to be available for *Testing* at such location during such time slot, and (ii) to update his/her most recent Whereabouts Filing to give notice of a different location where he/she would instead be available for *Testing* during a specified 60-minute time slot on the relevant day.
- 4.15 Besides the UIPM another *Anti-Doping Organization* may have jurisdiction to test an *Athlete* in the UIPM Registered Testing Pool and to record a Missed Test.



- 4.16 An *Athlete* in the UIPM Registered Testing Pool shall be deemed to have committed an Anti-Doping Rule violation if the *Athlete* commits a total of three Whereabouts Failures, which may be any combination of Filing Failures and/or Missed Tests, within any 12-month period, irrespective of which *Anti-Doping Organization* has declared the Whereabouts Failures in question.
- 4.17 The 12-month period starts to run on the date of commission of the first Whereabouts Failure. Any successful *Sample* collection during the 12-month period will not prevent the commission of an Anti-Doping Rule Violation if the same *Athlete* commits three Whereabouts Failures. However, if an *Athlete* who has committed one Whereabouts Failure does not go on to commit a further two Whereabouts Failures within 12 months of the first, at the end of that 12-month period the first Whereabouts Failure expires for purposes of establishing an Anti-Doping Rule Violation.
- 4.18 The whereabouts information, safely and securely stored by using *ADAMS*, is shared by UIPM with *WADA* and other *Anti-Doping Organizations* having *Testing* authority over an *Athlete* on the strict condition that it be used only for *Doping Control* purposes. The UIPM may agree with a *National Anti-Doping Organization* which of them shall take responsibility for receiving the Whereabouts Filings of *Athletes* who are in two Registered Testing Pools. The UIPM is responsible to ensure that the whereabouts information can be accessed by authorized individuals acting on behalf of the UIPM on a need-to-know basis only, by *WADA* and by other *Anti-Doping Organizations* with *Testing* authority over the *Athlete*. The UIPM further ensures that the whereabouts information is maintained in strict confidence at all times, is used by the UIPM exclusively for the purpose of planning, coordinating or conducting *Testing*, and is destroyed in accordance with relevant confidentiality requirements after it is no longer relevant.
- 4.19 An *Athlete* who has been identified by the UIPM for inclusion in the UIPM's Registered Testing Pool will continue to be subject to the whereabouts requirements specified above, unless and until the *Athlete* gives written notice to the UIPM that he/she has retired or until he/she no longer satisfies the criteria for inclusion into the UIPM's Registered Testing Pool and has been so informed by the UIPM. An *Athlete* included in the UIPM's Registered Testing Pool who has given notice of retirement to the UIPM may not resume competing unless he/she notifies UIPM at least six months before he/she expects to return to *Competition* and is available for unannounced *Out-of-Competition Testing*, at any time during the period before actual return to *Competition*. *WADA*, in consultation with UIPM and the *Athlete's National Anti-Doping Organization*, may grant an exemption to the strict application of this six-month written notice rule where the strict application of the rule would be manifestly unfair to the *Athlete*. This decision may be appealed in accordance with Article 13 of the *Code*.
- 4.20 Where an *Athlete* retires from but then returns to sport, his/her period of non-availability for *Out-of-Competition Testing* will be disregarded for purposes of calculating the 12-month period.

## **Article 5      Layout of UIPM Doping Controls**

- 5.1 *Doping Controls* must be conducted in substantial conformity with the current ISTI (including revisions, updates and amendments published by *WADA* from time to time). Completed tests are promptly reported into *ADAMS* clearinghouse to avoid unnecessary duplication in *Testing*.



- 5.2 *Doping Controls* at World Championships, World Cup Finals and Olympic Qualification *Competitions* in all UIPM sports are conducted under the supervision or in the presence of a UIPM Medical Delegate, who is a member of the UIPM Medical Committee.
- 5.3 *Doping Controls* at World Cups, Continental and Regional Championships and Category “B” UIPM *Competitions* in all UIPM sports are conducted by persons accredited by the official National medical association or governmental body. The UIPM Medical Committee is entitled to delegate its members to supervise these *Doping Controls*.
- 5.4 *Doping Controls* at Category “C” UIPM *Competitions* are conducted by the hosting National Federation in application of these Rules.
- 5.5 *Out-of-Competition Testing* is conducted by Sample Collection Authorities authorized by UIPM. *Out-of-Competition Testing* is subject to the UIPM Anti-Doping Rules and to these Rules.

## **Article 6 Notification of Athletes**

6.1 Notification of *Athletes* starts when the Sample Collection Authority initiates the notification of the selected *Athlete* and ends when the *Athlete* arrives at the Doping Control Station or when the *Athlete's* possible Failure to Comply is brought to the *Testing Authority's* attention. The main activities are:

- Appointment of DCOs, Chaperones and other Sample Collection Personnel;
- Locating the *Athlete* and confirming his/her identity by either his/her license or any other identity document. The means of identification of the *Athlete* shall be documented on the Doping Control form;
- Informing the *Athlete* that he/she has been selected to provide a *Sample* and of his/her rights and responsibilities;
- for No Advance Notice Testing, continuously chaperoning the *Athlete* from the time of notification to the arrival at the designated Doping Control Station; and
- documenting the notification, or notification attempt.

6.2 Requirements Prior to Notification of *Athletes*

6.2.1 It is the responsibility of the Medical Delegates and other authorised agents and persons (DCOs), to ensure that the *Doping Controls* are conducted correctly. The UIPM uses DCOs of the respective NADOs/Private service providers, trained by them for their responsibilities, they must not have a conflict of interests in the outcome of the *Sample* collection and must not be *Minors*. DCOs shall have official authorisation documentation by their NADOs / Private Service provider which includes their name, photograph and the expiry date of the identification. Sample Collection Personnel and Chaperones shall be adequately trained by their NADOs in a programme, which shall include studies of all relevant requirements of the *Sample* collection process. Thereafter they shall be accredited by their NADOs for a maximum of two years with the possibility of re- accreditation after having completed a training programme within the year prior to re- accreditation. Only such Sample Collection Personnel/Chaperones accredited by their NADOs / Private



service provider company shall be authorised to conduct *Sample* collection activities on behalf of the UIPM.

6.2.2 The training programme for DCOs as a minimum shall include comprehensive theoretical training in different types of testing activities relevant to DCO position, observation of all doping controls activities, preferably on site, and a supervised satisfactory performance of one complete Sample Collection Session.

6.2.3 The main tasks of these DCOs are:

- Inspection of the Doping Control Station where the *Samples* are to be taken;
- Ensuring that the necessary material for collecting the *Samples* is available;
- Technical guidance of the Doping Control Station personnel appointed by the Pentathlon Director on behalf of the Organising Committee;
- Cooperation with the UIPM Medical / Technical Delegate at the selection of the UIPM *Athletes* for examination;
- Verification of the identity of the UIPM *Athletes* to be subject to *Doping Control*;
- Collection of *Samples*, their coding and sealing, recording and packing as well as dispatching or surveillance of the whole process;
- Writing a report to be addressed to the UIPM Secretary General.

6.2.4 The Pentathlon Director or other Competition Director is obliged to appoint a suitable number of Chaperones, based on number and gender of athletes to be tested, to support the DCOs with conducting *Doping Control*. Chaperon must be same sex as *Athlete* he or she accompanies.

6.2.5 The Organising Committee will establish a secure Doping Control Station which must consist of:

- *Doping Control* Room (table, chairs, wash stand);
- An integrated toilet; and
- A waiting room for *Athletes* and their associated representatives.

The DCO shall use a Doping Control Station which, at a minimum, ensures the *Athlete's* privacy and where possible is used solely as a Doping Control Station for the duration of the Sample Collection Session. The DCO shall record any significant deviations from these criteria

6.2.6 The Doping Control Station must be situated near the arena and clearly marked outside, as laid down by Annex 1, which is an integral part of these Rules. Adequate transport for the Medical Delegates, agents and persons authorised must be provided by the Organising Committee prior, during and after the *Competition* and, whenever needed otherwise.

6.2.7 Only the following persons are permitted to enter the Doping Control Station:

- (i) The Medical Delegates, authorised agents and persons, UIPM Technical Delegates/National Technical Observers and appointed assistants as well as international observers as specified by the chairperson of the Medical Committee;
- (ii) the *Athlete* who will be subject to *Doping Control* and his associated representative and/or interpreter, a *Minor Athlete's* representative as well as an impaired *Athlete's* representative;



- (iv) a WADA observer, where applicable under the *Independent Observer Program*.

### 6.3 Requirements for Notification of *Athletes*

6.3.1 The *Athlete* shall be the first person notified that he/she has been selected for *Sample* collection, except where prior contact with a third party is required as specified below.

6.3.2 The DCO or Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification of the *Athlete*, when the *Athlete* is a *Minor*, or where required by an *Athlete's* impairment, or in situations where an interpreter is required and available for the notification.

6.3.3 When initial contact is made, the DCO or Chaperone, as applicable, shall ensure that the *Athlete* and/or a third party (if so required) is informed:

- That the *Athlete* is required to undergo *Sample* collection;
- of the authority under which the *Sample* collection is to be conducted;
- of the type of *Sample* collection and any conditions that need to be adhered to prior to the *Sample* collection;
- of the *Athlete's* rights, including the right to:
  - (i) Have a representative and, if available, an interpreter accompanying him/her;
  - (ii) Ask for additional information about the *Sample* collection process;
  - (iii) Request a delay in reporting to the Doping Control Station for valid reasons; and
  - (iv) Request modifications for *Athletes* with Impairments.
- of the *Athlete's* responsibilities, including the requirement to:
  - (i) Remain within direct observation of the DCO/Chaperone at all times from the point initial contact is made by the DCO/Chaperone until the completion of the *Sample* collection procedure;
  - (ii) Produce identification;
  - (iii) Comply with *Sample* collection procedures (and the *Athlete* should be advised of the possible consequences of Failure to Comply); and
  - (iv) Report immediately for *Sample* collection, unless there are valid reasons for a delay, as determined in these Rules.
- of the location of the Doping Control Station;
- that, should the *Athlete* choose to consume food or fluids prior to providing a *Sample*, he/she does so at his/her own risk;
- not to hydrate excessively, since this may delay the production of a suitable *Sample*; and
- that any urine *Sample* provided by the *Athlete* to the Sample Collection Personnel should be the first urine passed by the *Athlete* subsequent to notification, i.e., he/she should not pass urine in the shower or otherwise prior to providing a *Sample* to the Sample Collection Personnel.

## Article 7 Preparing for the Sample Collection Session

### 7.1 Urine Controls

7.1.1 UIPM only uses Sample Collection Equipment systems which, at a minimum, have a unique numbering system incorporated into all bottles, containers, tubes or other item used to seal the *Sample*; have a sealing system that is tamper evident; ensure that



the identity of the *Athlete* is not evident from the equipment itself, and ensure that all equipment is clean and sealed prior to use by the *Athlete*. UIPM has set up a system for recording the Chain of Custody.

## 7.2 Selection and Number of *Athletes* for Urine Control

7.2.1 As a matter of principle, the best-placed *Athletes* plus a number of female and/or male *Athletes* whose names may be drawn by lot or *Target Tested* to undergo the urine control. The draw is being done directly after the start of the last *Athlete* by *UIPM Medical or Technical delegate*. UIPM reserves deviation from this principle and procedure in case of justified reason for targeting other *Athletes*.

7.2.2 *WADA* is also authorised to select UIPM *Athletes* for *Testing*.

7.2.3 The name of the *Athlete* to be tested is communicated to the DCO or Chaperone in person prior to the first *Athlete* finishing. When initial contact is made, the DCO must ensure that the *Athlete* is informed on his/her rights and responsibilities and on the location of the Doping Control Station. It is a right of the *Athlete* to have a representative (accompanying official) and interpreter, ask for additional information about the *Sample* collection process, request a delay in reporting to the Doping Control Station for valid reasons and request modifications in case of an *Athlete* with disabilities. It is the *Athlete's* responsibility to remain within the sight of the DCO and Chaperone at all times from the first moment of in-person notification by the DCO until the completion of the *Sample* collection procedure, produce identification if requested so, comply with *Sample* collection procedures and report immediately for a test, unless there are valid reasons for a delay. The DCO must inform the *Athletes* should they choose to consume food or fluids prior to providing a *Sample* that they do so at their own risk, and should in any event avoid excessive re-hydration. The *Sample* provided should be the first urine passed by the *Athlete* subsequent to notification.

## 7.3 Preparation at the Doping Control Station

7.3.1 *Athletes* selected for providing a urine *Sample* during *Doping Control* are obliged to report to the Doping Control Station presenting an identification document, immediately after the end of *Competition*. A DCO or Chaperone will be with the *Athlete* at all times. The *Athletes* are entitled to be accompanied by an official of their team and by an interpreter.

7.3.2 The DCO or one of the Chaperones will prepare a Record of Doping Control, in duplicate, which must include the name of the *Athlete*, the country she/he represents, the time of request and the time of arrival at the Doping Control Station. The *Athlete* must declare any medication he/she may have taken in the preceding seven days. One part of the form certifies proper notification confirmed by signature of the *Athlete*. If the *Athlete* refuses to sign that the doping control form acknowledging their selection for Doping Control, or Evades notification or does not proceed with *Doping Control* after being notified, the Chaperone shall, if possible, inform the *Athlete* of the consequences of refusing or Failing to Comply, and the Chaperone shall immediately report all relevant facts to the DCO. When possible the DCO shall attempt to notify the *Athlete* and may alert the *Athlete's* team officials of the *Athlete's* behaviour and,

where possible, continue to collect a *Sample* and shall document the facts and circumstances in a detailed report to the UIPM.

7.3.3 The DCO/Chaperones may at their discretion consider any reasonable third-party requirement or any request by the *Athlete* for permission to delay reporting to the Doping Control Station following acknowledgement and acceptance of notification, and/or leave the Doping Control Station temporarily after arrival, and may grant such permission if the *Athlete* can be continuously chaperoned and kept under direct observation during the delay and if the request relates to the following activities:

**For *In-Competition Testing***

- (i) Participation in a victory or award ceremony;
- (ii) Fulfilment of media commitments;
- (iii) Competing in further *Competitions*;
- (iv) Performing of a warm down;
- (v) Obtaining necessary medical treatment;
- (vi) Locating a representative and/or interpreter;
- (vii) Obtaining photo identification;
- (viii) Any other exceptional circumstances which may be justified, and which shall be documented.

**For *Out-of-Competition Testing***

- Locating a representative;
- Completing a training session;
- Receiving necessary medical treatment;
- Obtaining photo identification;
- Any other exceptional circumstances which can be justified, and which shall be documented.

7.3.4 The DCO or other authorised person shall document any reasons for delay in reporting to the Doping Control Station and/or reasons for leaving the Doping Control Station that may require further investigation by the UIPM. Any failure of the *Athlete* to remain under constant observation should also be recorded.

7.3.5 If the *Athlete* delays reporting to the Doping Control Station other than in accordance with number i) above but arrives prior to the DCO's departure, the DCO shall decide whether to process a possible failure to comply. If at all possible the DCO shall proceed with collecting a *Sample*, and shall document the details of the delay in the *Athlete* reporting to the Doping Control Station.

7.3.6 *Minor Athletes* may be accompanied by a representative throughout the entire Sample Collection Session. This includes confirming wherever necessary that the organiser of the *Event* obtains the necessary parental consent for *Testing* any participating *Athlete* who is a *Minor*. All aspects of notification and *Sample* collection for *Athletes* who are *Minors* shall be carried out in accordance with the standard notification and *Sample* collection procedures unless modifications are necessary due to the *Athlete* being a *Minor*. In planning or arranging *Sample* collection, the Sample Collection Authority and DCO shall consider whether there will be any *Sample* collection for *Athletes* who are *Minors* that may require modifications to the standard procedures for notification or *Sample* collection. The DCO and the Sample Collection Authority shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security or integrity of the *Sample*. *Athletes* who are *Minors* should be notified in the presence

of an adult, and may choose to be accompanied by a representative throughout the entire Sample Collection Session. The representative shall not witness the passing of a urine *Sample* unless requested to do so by the *Minor*. The objective is to ensure that the DCO is observing the *Sample* provision correctly. Even if the *Minor* declines a representative, the Sample Collection Authority, DCO or Chaperone, as applicable, shall consider whether another third-party ought to be present during notification of and/or collection of the *Sample* from the *Athlete*. The DCO shall determine who (in addition to the Sample Collection Personnel) may be present during the collection of a *Sample* from an *Athlete* who is a *Minor*, namely a representative of the *Minor* to observe the Sample Collection Session (including observing the DCO when the *Minor* is passing the urine *Sample*, but not directly observing the passing of the urine *Sample* unless requested to do so by the *Minor*) and the DCO's/Chaperone's representative, to observe the DCO/Chaperone when a *Minor* is passing a urine *Sample*, but without the representative directly observing the passing of the *Sample* unless requested by the *Minor* to do so. Should an *Athlete* who is a *Minor* decline to have a representative present during the Sample Collection Session, this should be clearly documented by the DCO. This does not invalidate the test, but must be recorded. If a *Minor* declines the presence of a representative, the representative of the DCO/Chaperone must be present. The preferred venue for all *Out-of- Competition Testing* of a *Minor* is a location where the presence of an adult is most likely, e.g., a training venue. The Sample Collection Authority shall consider the appropriate course of action when no adult is present at the *Testing* of an *Athlete* who is a *Minor* and shall accommodate the *Athlete* in locating a representative in order to proceed with *Testing*.

7.3.7 An *Athlete* with an intellectual, physical or sensorial disability may be assisted by the *Athlete's* representative or Doping Control Station staff during the Sample Collection Session where authorised by the *Athlete* and agreed by the DCO. The DCO can decide and must report that alternative Sample Collection Equipment or facilities will be used, if necessary and as long as the *Sample's* identity, security and integrity will not be affected. *Athletes* who are using urine collection or drainage systems are required to eliminate existing urine from such systems before providing a urine *Sample* for analysis. Where possible, the existing urine collection or drainage system should be replaced with a new, unused catheter or drainage system. The catheter or drainage system is not a required part of Sample Collection Equipment to be provided by the Sample Collection Authority; instead it is the responsibility of the *Athlete* to have the necessary equipment available for this purpose. The Sample Collection Authority has responsibility for ensuring, when possible, that the DCO has any information and Sample Collection Equipment necessary to conduct a Sample Collection Session with an *Athlete* with an impairment. All aspects of notification and *Sample* collection for *Athletes* with impairments shall be carried out in accordance with the standard notification and *Sample* collection procedures, including Sample Collection Equipment and facilities unless modifications are necessary due to the *Athlete's* impairment. The DCO will record modifications made to the standard *Sample* collection procedures for *Athletes* with impairments, including any applicable modifications specified in the above actions.

7.3.8 The *Athlete* and the accompanying person must remain in the Doping Control Station's waiting room under supervision until the *Athlete* is called into the consulting area. The *Athlete* and any personal belongings he or the accompanying person bring with them (clothing, bags, etc.) may be searched for evidence of manipulation, upon entering and leaving the Doping Control Station. If, while keeping



the *Athlete* under observation, Doping Control Station personnel or Chaperones observe any matter with potential to compromise the test, the circumstances shall be reported to and documented by the DCO. If deemed appropriate by the DCO, the DCO shall investigate a possible Failure to Comply, and/or consider if it is appropriate to collect an additional *Sample* from the *Athlete*.

7.3.9 In case of possible Failure to Comply the UIPM Secretary General will notify WADA and instigate an investigation by the UIPM Doping Review Panel based on all relevant information and documentation, will inform the *Athlete* or other party in writing and offer them the opportunity to respond. The evaluation process is documented. The final determination is made available to WADA and the respective *Anti-Doping Organizations*.

7.3.10 The *Athlete* shall only leave the Doping Control Station under continuous observation by a Chaperone and with the approval of the DCO. The DCO shall consider any reasonable request by the *Athlete*, until the *Athlete* is able to provide a *Sample*. If the DCO gives approval, the DCO shall agree with the *Athlete* on the following conditions of leave and document them:

- The purpose of the *Athlete* leaving the Doping Control Station;
- The time of return;
- Observation at all times;
- No passing of urine until the athlete returns to the Doping Control Station.

7.3.11 No photographs, video or tape recordings may be taken inside the Doping Control Station during the doping control procedure.

7.3.12 The DCO shall provide the *Athlete* with the opportunity to hydrate. The *Athlete* should avoid excessive rehydration, having in mind the requirement to provide a *Sample* with a Suitable Specific Gravity for Analysis.

## 7.4 Blood and Gene Controls

7.4.1 Blood controls of UIPM *Athletes* are organised to determine the values of the *Athlete Biological Passport* parameters in blood *Samples*. Controls are also organized to detect growth hormone, ESA's or whether gene or cell doping, i.e. the non-therapeutic use of genes, genetic elements and/or cells that have the capacity to enhance athletic performance. At all such *Doping Controls*, it must be ensured that the health and safety of the *Athlete* and Sample Collection Personnel are not compromised, that the *Sample* is of a quality and quantity that meets the relevant analytical guidelines, that the *Sample* has not been manipulated, substituted, contaminated or otherwise tampered with in any way, that the *Sample* is clearly and accurately identified and that the *Sample* is securely sealed.

7.4.2 It is the responsibility of the DCO to ensure that each *Sample* is properly collected, identified and sealed and that all *Samples* have been properly stored and dispatched in accordance with the relevant analytical guidelines. The Blood Collection Officer has the duty to collect the blood *Sample*, answer related questions during the provision of the *Sample* and dispose properly of used blood sampling equipment not required for completing the Sample Collection Session in accordance with the local standards for handling blood.



7.4.3 Blood Sample Collection Equipment shall consist of a single *Sample* tube for blood profiling purposes or both an A and B *Sample* tube for blood analysis or as otherwise specified by the relevant laboratory.

## 7.5 Selection of *Athletes* for Blood Controls

7.5.1 As a rule, a certain number of *Athletes*, may be selected to undergo a blood control. Blood controls will be conducted in selected competitions or whenever decided by the UIPM Medical Committee and/or UIPM Anti-Doping manager.

7.5.2 All blood *Samples* shall only be taken by qualified personnel (Blood Collection Officer) appointed by the UIPM Medical Committee or other DCO. Sample Collection Personnel shall not be *Minors* and Blood Collection Officers shall have adequate qualifications and practical skills required to perform blood collection from a vein. Sample Collection Personnel that have an interest in the outcome of the collection or *Testing* of a *Sample* from an *Athlete* who might provide a *Sample* at a session must not be appointed to that Sample Collection Session. This goes, in particular, if they are involved in the planning of the sport for which *Testing* is being conducted, or are related to, or involved in the personal affairs of, any *Athlete* who might provide a *Sample* at that session. Blood Collection Officers shall be adequately trained in a program, which as a minimum shall include studies of all relevant requirements of the testing process and familiarization with relevant standard precautions in healthcare settings. Thereafter they shall be accredited by the UIPM for a maximum of two years with the possibility of re-accreditation after having completed a training program within the year prior to re-accreditation. Only such Blood Collection Officers accredited by the UIPM, NADO or Private Service Provider shall be authorised to conduct *Sample* collection activities on behalf of the UIPM.

7.5.3 Any *Athlete* may be selected for blood control at any time. WADA is authorised to selection as agreed upon with the UIPM.

7.5.4 The selected *Athletes* will be informed by the officials mentioned above and must sign a document of acknowledgement, which includes the time of *Sample* collection.

## 7.6 *Out-of-Competition* Controls

7.6.1 *Out-of-Competition Doping Controls* may include those conducted at and during UIPM Events. *Out-of-Competition Testing* at UIPM Events ends 12 hours before the start of a *Competition* and starts at the earliest 12 hours after a *Competition* has ended.

7.6.2 The UIPM Medical Committee or UIPM Anti-Doping Manager decides the site and time of the *Doping Controls*, after having selected the *Athletes* to be controlled. WADA is authorised to select as agreed upon by the UIPM. Updated APMU report shall be taken into consideration while planning the testing.

7.6.3 The DCO must present his identity card and his appointment letter.

7.6.4 Should a *Minor* be included in the UIPM Registered Testing Pool, the preferred venue for all *Out- of-Competition Testing* is allocation where the presence of an adult is most likely, e.g. training venue. The *Testing* shall be conducted in accordance with Annex C of ISTI.



## Article 8 Conducting the Sample Collection Session

### 8.1 Urine Collection

8.1.1 Only one *Athlete* at a time shall be called into the Control room.

8.1.2 The *Athlete* shall select a collection vessel; visually check that it is empty and clean, that all seals on the selected vessel are intact and that the equipment has not been tampered with. There must be a sufficient number of clean containers available for selection, at least one more than the number of *Athletes* to be controlled. If the *Athlete* is not satisfied with the selected vessel, he/she may select another. If the *Athlete* is not satisfied with any of the equipment available for the selection, this shall be recorded by the DCO. If the DCO does not agree with the *Athlete's* opinion that all the collection vessels available for the selection are unsatisfactory, the DCO shall instruct the *Athlete* to proceed with the Sample Collection Session. If the DCO agrees with the reasons put forward by the *Athlete* that all the collection vessels available for the selection are unsatisfactory, the DCO shall terminate the collection of the *Athlete's* urine *Sample* and this shall be recorded by the DCO.

8.1.3 The *Athlete* who will be naked from the waist downward to the knees must urinate in an area of privacy in a container selected by him/herself thereby being closely supervised by a Chaperone being of the same gender as the *Athlete*. The DCO/Chaperone should where practicable ensure that the *Athlete* has thoroughly washed their hands prior to the provision of the *Sample*. Once the *Sample* has been provided, the DCO shall also ensure that no additional volume is passed by the *Athlete* at the time of provision, which could have been secured in the collection vessel.

8.1.4 The collected urine *Sample* must comprise at least 90 ml. The *Athlete* shall return to the Control room with the collection vessel containing the urine and shall retain control of the collection vessel and any *Sample* provided until the *Sample* is sealed. The DCO or Chaperone shall witness the *Sample* leaving the *Athlete's* body and record the witnessing in writing.

8.1.5 The DCO shall use the relevant laboratory's specifications to verify, in full view of the *Athlete*, that the volume of the urine *Sample* satisfies the laboratory's requirements for analysis. If insufficient urine has been provided by the *Athlete*, the partial *Sample* must be placed in a container and sealed. The DCO shall check, in full view of the *Athlete*, that the container has been properly sealed. The DCO and the *Athlete* shall check that the equipment code number and the volume and identity of the insufficient *Sample* are recorded accurately by the DCO. Either the *Athlete* or the DCO shall retain control of the sealed partial *Sample*. The *Athlete* will remain under continuous observation until further urine has been provided and *Sample* taking procedures are complete, and be given the opportunity to hydrate. If the requested urine volume of 90 ml has been provided, the DCO shall direct the *Athlete* to break the seal/s and combine the *Samples*, ensuring that additional *Samples* are added sequentially to the first entire *Sample* collected until, as a minimum, the urine volume of 90 ml is met.

8.1.6 The DCO shall instruct the *Athlete* to select a *Sample* collection kit containing two bottles (for A and B samples). Once a *Sample* collection kit has been selected, the DCO and the *Athlete* shall check that all code numbers match and that this code number is recorded accurately by the DCO. If the *Athlete* or DCO finds that the numbers are not

the same, the DCO shall instruct the *Athlete* to choose another kit in accordance with the above procedure and record the matter. The *Athlete* him/herself will pour the urine into the bottles, that is to say first the minimum volume of 30 ml urine into the B bottle, and then fill the A bottle as much as possible (to a minimum of 60 ml and to capacity as per the recommendation of the equipment manufacturer). The *Athlete* shall then fill the B bottle per recommendation of the equipment manufacturer with the remaining urine. A few drops of urine shall remain in the collection vessel in order to enable the DCO to test that residual urine has a Suitable Specific Gravity for Analysis. Urine should only be discarded when both the A and B bottles have been filled as described before. Next, the *Athlete* shall seal the bottles as directed by the DCO. The DCO shall check, in full view of the *Athlete*, that the bottles have been properly sealed. Each A and B containers are to be placed in container which are to be closed immediately after the *Samples* have been sealed.

8.1.7 Using the residual volume of urine in the collection container, Suitable Specific Gravity for Analysis must be measured by the DCO, as per ISTI. This Suitable Specific Gravity for Analysis will be recorded on the Doping Control Form. If the DCO's field reading indicates that the *Sample* does not have a Suitable Specific Gravity for Analysis, then the DCO shall require that the *Athlete* provides a further *Sample* until the required Suitable Specific Gravity for Analysis is met or until the DCO determines that there are exceptional circumstances which mean that for logistical reasons it is impossible to continue with the Sample Collection Session. Such exceptional circumstances shall be documented accordingly by the DCO. The *Athlete* shall be advised not to hydrate excessively, since this may delay the production of a suitable *Sample*. In appropriate circumstances, excessive hydration may be pursued as a violation of Code Article 2.5 (Tampering or Attempted Tampering with any part of Doping Control). While waiting to provide an additional *Sample*, the *Athlete* shall remain under continuous observation. The DCO shall record that the *Samples* collected belong to a single *Athlete* and the order in which the *Samples* were provided. If it is determined that none of the *Athlete*'s *Samples* meets the requirement for Suitable Specific Gravity for Analysis and the DCO determines that for logistical reasons it is impossible to continue with the Sample Collection Session, the DCO may end the Sample Collection Session. In such circumstances, if appropriate the chairperson of the UIPM Doping Review Panel may investigate a possible Anti-Doping Rule Violation. The DCO shall send to the laboratory for analysis all *Samples* that were collected, irrespective of whether or not they meet the requirement for Suitable Specific Gravity for Analysis. The laboratory shall, in conjunction with the UIPM, determine which *Samples* shall be analysed.

8.1.8 Any behaviour by the *Athlete* and/or *Persons* associated with the *Athlete* or anomalies with potential to compromise the *Sample* collection shall be recorded in detail by the DCO. If there are doubts as to the origin or authenticity of the *Sample*, the *Athlete* shall be asked to provide an additional *Sample*. In case of an anomaly or if the *Athlete* refuses to provide an additional *Sample*, the DCO is responsible for ensuring that any matters in this case are assessed to determine if a possible Failure to Comply has occurred. The DCO is responsible for ensuring that all relevant information, including information from the immediate surroundings when applicable, is obtained as soon as possible or when practicable to ensure that all knowledge of the matter can be reported and be presented as possible evidence as well as that appropriate documentation is completed to report any possible Failure to Comply. Sample Collection Personnel are responsible for reporting to the DCO any matter with the potential to compromise a test, and the



DCO is responsible for reporting such matters to the Chairperson of the UIPM Medical Committee. The *Athlete* shall be notified of the possible consequence and that a possible Failure to Comply will be investigated by the chairperson of the UIPM Doping Review Panel and appropriate follow-up action will be taken. If possible, the *Athlete's* Sample Collection Session shall be completed. The chairperson of the UIPM Doping Review Panel will ensure that the outcomes of his/her investigation are considered for results management action and, if applicable, for further planning and *Testing*.

8.1.9 In conducting the Sample Collection Session the following information shall be recorded as a minimum: Date, time and type of notification (No advance notice, advance notice, *In- Competition* or *Out-of-Competition*); arrival time at Doping Control Station; date and time of *Sample* provision; the name, date of birth, gender of the *Athlete*; the *Athlete's* home address and telephone number; the *Athlete's* sport and discipline; the name of the *Athlete's* coach and doctor; the *Sample* code number; the type of the *Sample* (urine, blood, etc.) and the type of test (*In- Competition* or *Out-of-Competition*); the name and signature of the Chaperone who witnessed the urine *Sample* provision; the name and signature of the Blood Collection Official who collected the blood *Sample*, where applicable and as specified below; required laboratory information on the *Sample*; Partial *Sample* information; medications and supplements taken within the previous seven days and (where the *Sample* collected is a blood *Sample*) blood transfusions within the previous three months, as declared by the *Athlete*; *Athlete* consent for the processing of *Sample* collection data; *Athlete* consent or otherwise for the use of the *Sample(s)* for research purposes; *Athlete* comments or concerns regarding the conduct of the session, if provided; the name and signature of the *Athlete*; the name and signature of the *Athlete's* representative, if required; the name and signature of the DCO; the name of the Testing Authority; the name of the Sample Collection Authority; and the name of the Results Management Authority.

8.1.10 The *Athlete*, his/her representative, the DCO, the representative of a *Minor*, if applicable, and other persons with a formal role present as witnesses, if they wish to do so, will sign the record thus confirming that the Sample Collection Session has been conducted correctly and all details, including any concerns by the *Athlete* are reflected. The DCO shall provide the *Athlete* with the opportunity to document any concerns he/she may have about how the Sample Collection Session was conducted. Other persons present who had a formal role during the *Athlete's* Sample Collection Session may sign the documentation as a witness of the proceedings. The copies of the record will be placed in separate envelopes that must be closed and sealed and one copy must be given to the *Athlete*.

8.1.11 The envelope(s) containing the original of the record will be handed over to the UIPM Anti-Doping Manager as soon as practicable after the completion of the Sample Collection Session. For *Out-of-Competition* testing, the Sample Collection Authority should enter the details into ADAMS where possible otherwise they scan and email the DC form and relevant documents immediately to the UIPM AD Manager. The envelope with the copy will be delivered to the WADA-accredited Laboratory or as otherwise approved by WADA.

8.1.12 A courier forwards the containers to the WADA-accredited Laboratory for analysis as soon as possible after completion of the Sample Collection Session. *Samples* shall be transported in a manner which minimizes the potential for *Sample* degradation due to factors such as time delays and extreme temperature variations. Documentation identifying the *Athlete* shall not be included with the *Samples* or documentation sent to the



laboratory. The receipt of *Samples* shall be confirmed in writing by the Laboratory Director or by a person delegated to do so.

8.1.13 Chain of Custody shall be checked by the chairperson of the UIPM Doping Review Panel if receipt of either the *Samples* with accompanying documentation or Sample Collection Session documentation is not confirmed at their intended destination or a *Sample's* integrity or identity may have been compromised during transport. In this instance, the chairperson of the UIPM Doping Review Panel shall consider whether the *Sample* should be voided. In case *Sample* has been voided, it will be documented and reported to WADA. Follow up target testing will be conducted.

8.1.14 Documentation related to a Sample Collection Session and/or an Anti-Doping Rule Violation shall be stored by UIPM for at least 10 years.

8.1.15 *Samples* collected in tests initiated by the UIPM are owned by the UIPM.

## 8.2 Blood Collection

8.2.1 The provisions of article 8.1 above apply to blood controls as far as not specified otherwise below. If the *Sample* is to be used in connection with the *Athlete Biological Passport* program the APB technical documents apply and the DCO/BCO shall use the Doping Control form that is specific to the *Athlete Biological Passport* program. If such form is not available, the DCO/BCO shall use a regular Doping Control form, but he/she shall collect and record the following additional information on a supplementary report form that shall be signed by the *Athlete* and the DCO/BCO:

- (i) confirmation that the *Athlete* did not participate in training or *Competition* in the last two hours before the *Sample* was collected;
- (ii) information, whether the *Athlete* trained, competed or resided at an altitude greater than 1500 meters in the previous two weeks. If so, or if in doubt, the name and location of the place(s) where the *Athlete* has been, as well as the duration of his/her stay there, shall be recorded, along with the estimated altitude there (if known);
- (iii) information, whether the *Athlete* used any form of altitude simulation (such as a hypoxty tent, mask, etc.) in the previous two weeks. If so, as much information as possible on the type of device and the manner in which it was used (frequency, duration, intensity, etc.) shall be recorded; and
- (iv) information, whether the *Athlete* received any blood transfusion(s) during the previous three months. Whether there was any blood loss due to accident, pathology or donation in the previous three months. In either case, if so, the estimated volume needs to be indicated.

8.2.2 At the time indicated, the selected *Athletes* shall proceed to the area where the *Sample* will be provided. If some problems occur and the *Athlete* cannot undergo the blood control at the scheduled time, the time of *Sample* collection can be exceptionally delayed until five minutes before his start time.

8.2.3 If the *Athlete* wants to refuse to blood *Sample* collection, the possible consequences of his/her refusal must be explained to him/her by the respective official mentioned under article 6.2.1 above. If the *Athlete* continues refusing, this fact will be noted in the record and will be signed by the official. The *Athlete* and the person accompanying him/her are requested to sign as well. The official is responsible to communicate the



refusal to the UIPM Anti-Doping Manager and the Chairperson of the UIPM Medical Committee.

8.2.4 The DCO shall ensure the *Athlete* is offered comfortable conditions including being in a relaxed position for at least 10 minutes prior to providing a *Sample*. The DCO shall instruct the *Athlete* to select the *Sample* collection kit(s) required for collecting the *Sample* and to check that the selected equipment has not been tampered with and the seals are intact. Article 8.1.6 above applies to Blood Controls accordingly.

8.2.5 The Blood Collection Officer shall clean the skin with a sterile disinfectant wipe or swab in a location unlikely to adversely affect the athlete or the athlete's performance and, if required, apply a tourniquet. The Blood Collection Officer shall take the blood sample of vein blood of an amount which shall be adequate to satisfy the relevant analytical requirements for the *Sample* analysis to be performed, from a surface forearm vein of the non-dominant arm of the selected *Athlete* into the final collection container. The tourniquet, if applied, shall be immediately removed after the venipuncture has been made.

8.2.6 In case of impossibility to take the blood *Sample* within three attempts, the Blood Collection Officer shall inform the DCO. The DCO shall terminate the collection of the blood *Sample* and record this and the reasons for terminating the collection.

8.2.7 The Blood Collection Officer shall apply a dressing to the puncture site(s) and shall dispose of used blood sampling equipment not required for completing the Sample Collection Session in accordance with the required local standards for handling blood. If the *Sample* is to be used in connection with the *Athlete Biological Passport* program, it shall not be collected within two hours of the *Athlete* training or competing. If the *Athlete* has trained or competed within two hours of the time that the *Athlete* is notified of his/her selection for *Sample* collection, the DCO/BCO/Chaperone shall monitor the *Athlete* continuously until the two-hour period has elapsed, after which the *Sample* shall be collected. The nature of the exertion (*Competition*, training, etc.), as well as its duration and general intensity, shall be recorded by the DCO/BCO in the mission documentation.

8.2.8 The *Athlete*, after having gently mixed the tube three times, shall seal his/her *Sample* into the *Sample* collection kit as directed by the DCO. In full view of the *Athlete*, the DCO shall check that the sealing is satisfactory. If the *Sample* requires further on-site processing, such as centrifugation or separation of serum (for example, in the case of a *Sample* intended for use in connection with the *Athlete Biological Passport* program), after the blood flow into the tube ceases, the BCO shall remove the tube from the holder and homogenize the blood in the tube manually by inverting the tube gently at least three times), the *Athlete* shall remain to observe the *Sample* until final sealing in secure, tamper-evident kit.

8.2.9 In case of more *Athletes* waiting to undergo *Sample* collection, the sequence will be conducted in accordance with the expected sampling order. In case of delayed arrival at the Doping Control Station, the *Athlete* will be shifted to the end of the list.

8.2.10 The sealed *Sample* shall be stored in a manner that protects its integrity, identity and security prior to analysis at the Doping Control Station or dispatch for analysis at the WADA-accredited Laboratory or as otherwise approved by WADA. If the *Sample* is intended for use in connection with an *Athlete Biological Passport* program, the DCO/BCO shall place it in a storage device that is capable of maintaining blood *Samples* at a cool

temperature for the duration of the period of storage and transport but without allowing whole blood *Samples* to freeze (such as a refrigerator, an insulated cool box, an isotherm bag, or any other device with such capability). A temperature data logger shall be used to record the temperature of the *Sample* during storage and transport. In choosing the storage device, the Sample Collection Authority shall take into account the duration of the period of storage and transport, the number of *Samples* to be stored together, and the prevailing environmental conditions (hot or cold temperatures).

8.2.11 If the *Sample* is intended for use in connection with an *Athlete Biological Passport* program, it shall be transported rapidly to the laboratory.

## **Article 9 Doping Control Laboratories**

9.1 Only Laboratories accredited by *WADA* or otherwise approved by *WADA* and chosen by UIPM are entitled to analyse *Samples* taken at UIPM Doping Controls. These laboratories are announced and updated by *WADA* on a continuous basis. These Laboratories will analyse *Samples* and report results in conformity with the current International Standard for Laboratories (which may be revised by *WADA* from time to time).

9.2 *Samples* will be collected and analysed to detect *Prohibited Substances* and *Prohibited Methods* identified on the current *WADA Prohibited List* and other substances as may be directed by *WADA* pursuant to the Monitoring Program described in Article 4.5 of the *Code*, or to assist the UIPM or other *Anti-Doping Organization* in profiling relevant parameters in an *Athlete's* urine, blood, or other matrix, including DNA profiling or genomic profiling, for anti-doping purposes. No *Sample* may be used for any purpose other than mentioned before without the *Athlete's* written consent. *Samples* used for other purposes than mentioned in this article shall have the identity code removed such that they cannot be traced back to a particular *Athlete*.

9.3 A *Sample* collected under UIPM authority may be subject to further analysis for the above purpose within 10 years of the date of *Sample* collection exclusively at the direction of the UIPM or *WADA*. The circumstances and conditions for further analysis of *Samples* shall conform to the requirements of the International Standard for Laboratories.

## **Article 10 Analysis of Samples – Determination of Results**

### **10.1 Urine Samples**

10.1.1 During the analysis, only the Laboratory Director and his personnel shall have access to the Laboratory.

10.1.2 Urine *Samples* are analysed at the minimum level of analysis according to the *WADA Technical Document for Sport Specific Analysis*. ESA tests will be conducted on the largest possible number of urine *Samples* and 5% of them also for GH and GHRF.

10.1.3 The result of the Laboratory analysis must be treated confidentially. It shall be reported in ADAMS or communicated in a way regarded as suitable for this purpose only to the UIPM Anti-Doping Manager.

### **10.2 Blood Samples**

#### **10.2.1 Analysis**



The blood *Samples* collected and sealed in a security system should be carefully shipped to avoid haemolysis and be transported to a WADA accredited Laboratory selected by the UIPM Medical Committee. They shall be analysed according to the WADA Technical Document for Sport Specific Analysis and the International Standard for Laboratories.

10.2.2 The results of the WADA-accredited or WADA Approved Laboratory for the ABP analysis shall be reported promptly in *ADAMS*.

## **Article 11 General Medical Care to Athletes and Therapeutic Use Exemptions (TUEs)**

- 11.1 All UIPM *Athletes* must have physical evaluations by their medical staff or their National Federation medical doctors. Records should be kept on file on each of the UIPM Member Federations of the *Athlete's* health and any subsequent injury or illness. A significant lapse in training requires update medical evaluation that would also become part of a medical record on file with the Member Organisation.
- 11.2 Illnesses are recorded for retrospective evaluation of illness/injury trends. It is recommended that all UIPM Member Federations keep such a record of the injury. When medically indicated, a formal request may be made through the UIPM Headquarters for such records from the National Federations. Care must be taken to preserve the privacy of the *Athletes* and their identity, unless permission by the *Athlete* is obtained in writing. The information must be used to advance the health and safety of the sport and its participants, and will not be used to advantage or disadvantage any athlete or organisation.
- 11.3 In accordance with Article 4.1 of the International Standard for Therapeutic Use Exemptions, an *Athlete* may be granted a *TUE* if (and only if) he/she can show, by a balance of probability, that each of the following conditions is met:
- The *Prohibited Substance* or *Prohibited Method* in question is needed to treat an acute or chronic medical condition, such that the *Athlete* would experience a significant impairment to health if the *Prohibited Substance* or *Prohibited Method* were to be withheld.
  - The Therapeutic Use of the *Prohibited Substance* or *Prohibited Method* is highly unlikely to produce any additional enhancement of performance beyond what might be anticipated by a return to the *Athlete's* normal state of health following the treatment of the acute or chronic medical condition.
  - There is no reasonable Therapeutic alternative to the *Use* of the *Prohibited Substance* or *Prohibited Method*.
  - The necessity for the *Use* of the *Prohibited Substance* or *Prohibited Method* is not a consequence, wholly or in part, of the prior *Use* (without a *TUE*) of a substance or method which was prohibited at the time of such *Use*.
- 11.4 All UIPM *Athletes* with a documented medical condition requiring the use of a *Prohibited Substance* or a *Prohibited Method* must first obtain a Therapeutic Use Exemption (TUE) granted by the UIPM Therapeutic Use Committee, which consists of three members of the UIPM Medical Committee, all of them appointed by the Chairperson of the UIPM Medical Committee. Such *TUE* is needed for participation at any UIPM competition of categories A, B and C.
- 11.5 An *Athlete* may only be granted retroactive approval for his/her Therapeutic Use of a *Prohibited Substance* if:
- Emergency treatment or treatment of an acute medical condition was necessary; or



- b. due to other exceptional circumstance, there was insufficient time or opportunity for the *Athlete* to submit, or for the UIPM Therapeutic Use Committee to consider, an application for the *TUE* prior to *Sample* collection; or
- c. The applicable rules required the *Athlete* or permitted the *Athlete* to apply for a retroactive *TUE*; or
- d. It is agreed by *WADA* and by the *Anti-Doping Organisation* to whom the application for a retroactive *TUE* is or would be made, that fairness requires the grant of a retroactive *TUE*. If *WADA* and/or the Anti-Doping Organization do not agree to the application of Article 4.3(d), that may not be challenged either as a defense to proceedings for an anti-doping rule violation, or by way of appeal, or otherwise. The UIPM Therapeutic Use Committee have to consider a request for *TUE* by applying the current International Standard for Therapeutic Use Exemptions (including revisions that are continuously published by *WADA*). The International Standard for Therapeutic Use Exemptions and all revisions shall go into effect for the UIPM three months after their publication by *WADA*. The UIPM will make the current *WADA* International Standard for Therapeutic Use Exemptions available to each National Federation. Each National Federation must ensure that the current International Standard for Therapeutic Use Exemptions is available to its members and is applied on all non-UIPM *Athletes* within their jurisdiction. All *TUEs* granted by UIPM are reported in ADAMS, to the respective *Athlete's* National Federation and to *WADA* within 15 business days of the decision of the *TUE* Committee.
- 11.4 The presence of a *Prohibited Substance* or its *Metabolites* or *Markers*, *Use* or *Attempted Use* of a *Prohibited Substance* or a *Prohibited Method*, *Possession* of *Prohibited Substances* and *Methods* or *Administration* of a *Prohibited Substance* or *Prohibited Method* consistent with the provisions of an applicable *Therapeutic Use Exemption* and issued pursuant to the International Standard for Therapeutic Use Exemptions shall not be considered an Anti-Doping Rule Violation.
- 11.5 Requests of *Athletes* for a *TUE* must be submitted as soon as possible and no later than 30 days before the *Athlete's* participation at a UIPM event, unless it is an emergency or exceptional situation. The decision on granting or denial of a *TUE* must be taken not later than seven days before the *Athlete's* participation at a UIPM event.
- 11.6 The *Athlete* should submit the *TUE* application via *ADAMS* or as otherwise specified by UIPM. The form must be accompanied by:
- a statement by an appropriately qualified physician, attesting to the need for the *Athlete* to *Use* the *Prohibited Substance* or *Prohibited Method* in question for Therapeutic reasons; and
  - a comprehensive medical history, including documentation from the original diagnosing physician(s) (where possible) and the results of all examinations, laboratory investigations and imaging studies relevant to the application.
- 11.7 The *Athlete* should keep a complete copy of the *TUE* application form and of all materials and information submitted in support of that application.
- 11.8 A *TUE* application will only be considered by the UIPM Therapeutic Use Committee following the receipt of a properly completed application form, accompanied by all relevant documents. Incomplete applications will be returned to the *Athlete* for completion and re-submission.



11.9 The UIPM Therapeutic Use Committee may request from the *Athlete* or his/her physician any additional information, examinations or imaging studies, or other information that it deems necessary in order to consider the *Athlete's* application; and/or it may seek the assistance of such other medical or scientific experts as it deems appropriate.

11.10 Any costs incurred by the *Athlete* in making the *TUE* application and in supplementing it as required by the UIPM Therapeutic Use Committee are the responsibility of the *Athlete*.

## **Article 12 Doping Controls for Horses**

### 12.1 Selection of Horses

12.1.1 The UIPM Technical and Medical Delegates decide whether Horses shall undergo a Testing and, if yes, which Horses. In addition, they may decide to sample Horses for Out-of-Competition Testing.

12.1.2 This selection may take place at the draw of the Horses and at any time during the Riding event. Horses can be tested several times during one event.

### 12.2 Sampling

12.2.1 Once a Horse has been selected for Sampling, the person responsible for the supervision of the Horse must be informed. From the moment of notification, an authorised assistant must accompany the horse at all times until the Sample is collected. A refusal or wilful obstruction by any person to submit a horse for Sampling or to sign the Sampling form is immediately reported to the Competition Jury. If the Competition Jury decides that there are no grounds for such a refusal or obstruction it must not admit the respective horse for competition and must inform the UIPM Doping Review Panel.

12.2.2 It is the responsibility of the Medical Delegates and other authorised agents and persons, as mentioned above under Article 6.2.1 above, to ensure that the Sampling is conducted correctly.

12.2.3 The presence of a Prohibited Substance in a horse may be demonstrated in Samples taken from its tissues, body fluids (mainly blood) or excreta (mainly urine). Instructions for collecting Samples are contained in the Sampling kits. The Medical Delegates and other authorised agents or persons may authorise the collection of other materials, such as hair samples. Such Samples must be collected in accordance with instructions given by the UIPM Medical Committee.

12.2.4 All Samples awaiting transport to the laboratory must be kept in a locked refrigerator and dispatched to the laboratory as soon as possible.

### 12.3 Medical Treatment of Horses and Therapeutic Use Exemptions

When treatment of a horse with a Prohibited Substance or the use of alternative treatment or the use of medication not on the list of Prohibited Substances is required, the treating veterinarian must inform the UIPM Medical or Technical Delegate prior to treatment and achieve permission in writing. The Delegate will decide whether the horse is still fit to compete and whether it may have a possible unfair advantage as a result of treatment. If a horse must be treated with a Prohibited Substance prior to arrival at the competition, the UIPM Medical Delegate or Technical Delegate must be consulted as



soon as possible upon arrival at the venue. On such occasions, a statement signed by a veterinarian must be submitted, stating the reason for treatment, the substance, the dose, route, and exact time of administration. The Delegate will decide whether the horse is fit to compete and whether it may have a possible unfair advantage as a result of treatment. At UIPM competitions where no such Delegate or other person authorised is present the Pentathlon Director is responsible to ensure the application of this rule.

## 12.4 Analysis

12.4.1 Analysis of the Sample is performed in a FEI-accredited laboratory and as follows:

- On urine if urine has been collected. Urine from one of the two bottles, referred to as Sample A, is analysed. The remaining bottle of urine, referred to as Sample B, is stored unopened to be used in the case that a confirmatory analysis is required.
- On blood, collected in the absence of urine, or in combination with a urine sample. Blood from the syringes contained in the Sampling kit, referred to as Sample A, is analysed. The remaining syringe(s), referred to as Sample B, are stored unopened to be used in the case that a confirmatory analysis is required.

12.4.2 Doping Control Samples will be analysed to detect Prohibited Substances and Prohibited Methods identified in the UIPM Anti-Doping Rules and other substances as may be directed by WADA pursuant to the WADA Monitoring Program. No Sample may be used for any purpose other than the detection of substances (or classes of substances) or methods mentions above, or as otherwise identified by WADA pursuant to its Monitoring Program, without the person's responsible for the horse or owner's written consent.

12.4.3 If the analysis of the A sample confirms a positive result, the UIPM Secretary General will immediately inform in writing the person responsible for the horse and the owner of the horse. This control analysis is conducted at the same laboratory under the supervision of a Member of the UIPM Medical Committee or authorised person. The owner of the horse is entitled to send a representative to the laboratory to attend the analysis of the B sample.

12.4.4 The member of the UIPM Medical Committee or authorised person will forward the result of second examination to the UIPM Secretary General. In case of a second positive result the chairperson of the UIPM Doping Review Panel will initiate the necessary procedures, all expenses that have been incurred due to the examination of the B sample, will be paid by the National Federation concerned.

## **PART THREE: STANDARDS FOR INTELLIGENCE**

### **Article 13 Gathering, Assessment and Use of Intelligence**

13.1 The UIPM is committed to obtain, assess and process anti-doping intelligence from all available sources, to be used to help deter and detect doping, by informing the development of an effective, intelligent and proportionate Test Distribution Plan and/or the planning of *Target Testing*, and/or by forming the basis of an investigation into a possible Anti-Doping Rule Violation(s).



- 13.2 The UIPM through its Anti-Doping Manager and the Medical Committee is responsible to capture or receive anti-doping intelligence from all available sources, including *Athletes* and *Athlete Support Personnel* and members of the public, Sample Collection Personnel, laboratories, pharmaceutical companies, National Federations, law enforcement, other regulatory and disciplinary bodies, and the media.
- 13.3 The UIPM through its Anti-Doping Manager and the Medical Committee coordinates policies and procedures to ensure that anti-doping intelligence captured or received is handled securely and confidentially, that sources of intelligence are protected, that the risk of leaks or inadvertent disclosure is properly addressed, and that intelligence shared with them by law enforcement, other relevant authorities and/or other third parties, is processed, used and disclosed only for legitimate anti-doping purposes. They are responsible to assess all anti-doping intelligence upon receipt for relevance, reliability and accuracy, taking into account the nature of the source and the circumstances in which the intelligence has been captured or received.
- 13.4 The UIPM through its Anti-Doping Manager and the Medical Committee will collate and analyse all anti-doping intelligence captured or received by the UIPM in order to establish patterns, trends and relationships that may assist the UIPM in developing an effective anti-doping strategy and/or in determining (where the intelligence relates to a particular case) whether there is reasonable cause to suspect that an Anti-Doping Rule Violation may have been committed, such that further investigation is warranted in accordance with Section 12.0 of the ISTI.
- 13.5 Anti-doping intelligence shall be used to assist in developing, reviewing and revising the UIPM Test Distribution Plan and/or in determining when to conduct *Target Testing* and/or to create targeted intelligence files. The intelligence, where appropriate and subject to applicable law is shared with other *Anti-Doping Organizations* and/or law enforcement and/or other relevant regulatory or disciplinary authorities.

## Article 14 Investigations

### 14.1 Investigating Atypical Findings and Adverse Passport Findings

14.1.1 The UIPM Anti-Doping manager in cooperation with the UIPM Medical Committee will investigate confidentially and effectively *Atypical Findings* and *Adverse Passport Findings* arising out of *Testing* conducted on UIPM's behalf and/or for which UIPM is the Results Management Authority. UIPM will provide WADA upon request with further information regarding the circumstances of *Adverse Analytical Findings*, *Atypical Findings*, and other potential Anti-Doping Rule Violations, such as (without limitation):

- the level of the *Athlete* in question;
- what whereabouts information (if any) the *Athlete* in question provides, and whether that information was used to locate him/her for the *Sample* collection that led to the *Adverse Analytical Finding* or the *Atypical Finding*;
- the timing of the *Sample* collection in question relative to the *Athlete's* training and competition schedules; and
- other such profile information as determined by WADA.

14.1.2 The UIPM Anti-Doping Manager in cooperation with the UIPM Medical Committee will investigate confidentially and effectively any other analytical or non-analytical information or intelligence that indicates there is reasonable cause to suspect that an Anti-



Doping Rule Violation may have been committed. When there is reasonable cause to suspect that an Anti-Doping Rule Violation may have been committed, the UIPM Secretary General will notify WADA that it is starting an investigation and will thereafter keep WADA updated on the status and findings of the investigation upon request.

14.1.3 The UIPM will gather and record all relevant information and documentation as soon as possible, in order to develop that information and documentation into admissible and reliable evidence in relation to the possible Anti-Doping Rule Violation, and/or to identify further lines of enquiry that may lead to the discovery of such evidence. The UIPM Anti-Doping Manager in cooperation with the UIPM Medical Committee will conduct investigations fairly, objectively and impartially at all times. The conduct of investigations, the evaluation of information and evidence identified in the course of that investigation, and the outcome of the investigation, will be fully documented. They will make use of all investigative resources reasonably available to it to conduct the investigation. This may include obtaining information and assistance from law enforcement and other relevant authorities, including other regulators, but will embrace the use of all investigative resources at UIPM's own disposal, including the *Athlete Biological Passport* program, investigative powers conferred (e.g., the power to demand the production of relevant documents and information, and the power to interview both potential witnesses and the *Athlete* or other *Person* who is the subject of the investigation), and the power to suspend a period of *Ineligibility* imposed on an *Athlete* or other *Person* in return for the provision of *Substantial Assistance* in accordance with UIPM Anti-Doping Rules Article 10.6.1. *Athletes* and *Athlete Support Personnel* are obliged to cooperate with investigations.

14.1.4 The UIPM Anti-Doping manager, in cooperation with the UIPM Medical Committee shall come to a decision efficiently and without undue delay as to whether proceedings should be brought against the *Athlete* or other *Person* asserting commission of an Anti-Doping Rule Violation. Where they conclude based on the results of their investigation that proceedings should be brought against the *Athlete* or other *Person* asserting commission of an Anti-Doping Rule Violation, all respective procedural steps shall be initiated. Where they conclude that proceedings shall not be brought against the *Athlete* or other *Person* asserting commission of an Anti-Doping Rule Violation, the UIPM Secretary General will notify WADA and the *Athlete's* or other *Person's* National Federation and *National Anti-Doping Organization* in writing of that decision, with reasons, and will provide such other information about the investigation as is reasonably required by WADA and/or *National Anti-Doping Organization* in order to determine whether to appeal against that decision. In any event, they shall consider whether any of the intelligence obtained and/or lessons learned during the investigation should be used to for the development of the UIPM Test Distribution Plan and/or to plan *Target Testing*, and/or should be shared with any other body concerned.

## **PART FOUR: RESULTS MANAGEMENT**

### **Article 15 Composition and Responsibilities of the UIPM Doping Review Panel**

- 15.1 The UIPM Doping Review Panel is appointed by the UIPM Executive Board for its election period at its first meeting after an Electoral Congress.
- 15.2 The UIPM Doping Review Panel is responsible for imposing sanctions and provisional suspensions according to the UIPM Anti-Doping Rules and these Procedures.

## Article 16 Procedures

- 16.1 The procedure in all matters except Anti-Doping Rule Violations take place *in camera* and can be organized by phone or video conference. Procedures must be conducted in a fair, timely and impartial manner, and the parties must be offered the possibility to present their respective cases and any documents in support. All reliable means of evidence can be considered. This procedure also applies in cases of Anti-Doping Rule Violations falling under Article 7.10 UIPM Anti-Doping Rules.
- 16.2 The procedure in all other cases of Anti-Doping Rule Violations shall be as follows:
- 16.3 The *Person* concerned and the *Person's* National Federation have to be granted a timely, fair and impartial hearing. The *Athlete* or other *Person* concerned has the right to be represented by counsel at their own expense. They have the right to be informed in a fair and timely manner of the asserted Anti-Doping Rule Violation and to respond to the asserted Anti-Doping Rule Violation and potential *Consequences*. They have the right to present evidence, including the right to call witnesses and experts. It is up to the UIPM Doping Review Panel to accept testimony by telephone or written submission. The *Athlete* or other *Person* concerned have the right to an interpreter at the hearing, with the UIPM Doping Review Panel to determine the identity and responsibility for the cost of the interpreter. The Panel shall not be restricted in the admission or evaluation of evidence.
- 16.4 The decision with its reasons, specifically including an explanation of the reason(s) for any ban period, must promptly be delivered in writing to the *Person* concerned.
- 16.5 The costs that accrue from the procedure are borne in case of a conviction by the *Person* concerned or alternatively by his/her National Federation as decided by the UIPM Doping Review Panel.
- 16.6 Hearings held in connection with *Events* may be conducted by an expedited process depending on the circumstances of the case. In the cases of Articles 7.9.1 - 7.9.3 UIPM Anti-Doping Rules a hearing may be provisional and/or expedited. In all these cases Article 16.2.1 above shall be applied as far as reasonable and feasible.
- 16.7 The right to a hearing may be waived by the *Athlete* or other *Person*.

## Article 17 Appeal

- 17.1 Decisions of the UIPM Doping Review Panel are subject to appeal to the UIPM Court of Arbitration. The appellant must lodge his/her appeal with the UIPM Court of Arbitration in writing by registered letter to the UIPM Secretary General within twenty-one days after the receipt of the respective decision. Members of the UIPM Doping Review Panel may not sit on any appeal panel of the UIPM Court of Arbitration if they have had prior involvement in the case in question.

Within 15 days from notice of the decision, such party shall have the right to request from the UIPM Doping Review Panel having issued the decision a copy of the documentation on which the Panel relied. If such a request is made within 15 days, then the party making such request shall have 21 days from receipt of the documentation to file an appeal to the UIPM Court of Arbitration. All appeals must set out briefly their nature and the facts relating thereto and must include the nomination of an arbitrator. The UIPM Secretary



- General must inform the UIPM Doping Review Panel and the UIPM Executive Board of the occurrence of the appeal as soon as possible.
- 17.2 The UIPM Executive Board must advise of its appointment of an arbitrator within 10 days after the receipt of the information on an appeal by the UIPM Secretary General.
- 17.3 In their decisions, the UIPM Court of Arbitration is bound by the UIPM Anti-Doping Rules and UIPM Anti- Doping Procedures and all other UIPM Rules as well as all provisions of substantive law of the Principality of Monaco. To the extent not provided otherwise by the UIPM Statutes and UIPM Rules on Internal Organisation, the general Monegasque rules of civil procedure apply to the arbitration proceedings.
- 17.4 In case of necessity the President of the UIPM Court of Arbitration is authorised to decide upon provisional or conservatory measures.
- 17.5 The UIPM Court of Arbitration makes its decision after an oral hearing within three months of its constitution. If the parties agree, the UIPM Court of Arbitration can waive the hearing.
- 17.6 In the hearing, the circumstances of the dispute shall be determined following representations by the appellant or his/her representative, a representative of the UIPM Doping Review Panel, any witnesses and any experts nominated by the UIPM Court of Arbitration.
- 17.7 The admission of other evidence does not require motions by parties.
- 17.8 The appellant or his/her representative and the representative of the UIPM Doping Review Panel may be present during the examination of witnesses and comment on their testimony.
- 17.9 The non-appearance of a party does not hinder the carrying out of the procedure.
- 17.10 The appellant may avail him/herself of the assistance of a legal advisor and an interpreter at any stage of the proceedings.
- 17.11 Appeals have no suspensive effect.
- 17.12 The UIPM Court of Arbitration's decisions with reasons in writing are to be transmitted to the parties by registered mail within 14 days of their date.
- 17.13 The UIPM Court of Arbitration also rules on the costs of the proceedings. These can be split among the appellant and the UIPM or imposed on one party only. Upon filing of the appeal, the appellant shall pay a fee of USD 300, failing which the UIPM Court of Arbitration shall not proceed. The appellant shall advance the costs for one arbitrator, half of the costs of the president and the costs for its own witnesses, experts and interpreters.
- 17.14 A decision of the UIPM Court of Arbitration may be appealed to the Court of Arbitration for Sports (CAS), Lausanne in accordance with Article 13 of the UIPM Anti-Doping Rules.