

# UIPM **MEDICAL AND ANTI-DOPING** HANDBOOK

**2022 EDITION**



UNION INTERNATIONALE  
DE PENTATHLON MODERNE



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DE PENTATHLON MODERNE





**CHAPTER 1**

# **UIPM MEDICAL RULES**

2022 EDITION







**1.****Scope****1.1**

These Rules apply to each National Federation and each participant in the activity of the UIPM or any of its National Federations by virtue of the participant's membership, accreditation or participation in the UIPM or its National Federation activities or competitions. In case of conflict the UIPM Statutes, Rules on Internal Organisation, Anti-Doping Rules, Anti-Doping Procedures and Code of Ethics shall prevail.

**2.****General principles and confidentiality****2.1**

Athletes shall enjoy the same fundamental rights as all patients in their relationships with physicians and health care providers. The relationship between athletes, their personal physician, the team physician and other health care providers shall be protected and be subject to mutual respect. The health and the welfare of athletes shall prevail over the sole interest of competition and other economic, legal or political considerations.

**2.2**

Athletes shall be fully informed, in a clear and appropriate way, of their health status and their diagnosis; preventive measures; proposed medical interventions, together with the risks and benefits of each intervention; alternatives to proposed interventions, including the consequences of non-treatment for their health and for their return to sports practice. The prior voluntary and informed written consent of the athletes shall be required for any medical intervention.

**2.3**

Athletes may refuse or interrupt a medical intervention. The consequences of such a decision shall be carefully explained to them.

**2.4**

Particular care shall be taken to avoid pressures from the entourage (e.g., coach, management, family, etc.) and other athletes, so that athletes can make fully informed decisions, taking into account the risks associated with practising a sport with a diagnosed injury or disease.

**2.5**

Athletes are encouraged to designate a person who can act on their behalf in the event of incapacity. They may also dictate in writing how they wish to be treated in the event of incapacity and give any other instruction they deem necessary.

**2.6**

All information about an athlete's health status, diagnosis, prognosis, treatment, rehabilitation measures and all other personal information shall be kept confidential, even after the death of the athlete and all applicable legislation shall be complied with. As to whereabouts information, Therapeutic Use Exemptions and other anti-doping related matters the UIPM Anti-Doping Rules and UIPM Anti-Doping Procedures apply.

**2.7**

Confidential information may be disclosed only if the athlete gives explicit consent thereto, or if the law or prevailing UIPM Rules expressly provide so. To the extent necessary for any athlete's treatment, consent may be presumed when the information is disclosed to other health care providers directly involved in his or her health care.

**2.8**

Intrusion into the private life of an athlete shall be permissible only if necessary for diagnosis, treatment and care, with the consent of the athlete, or if it is legally required. Such intrusion is also permissible pursuant to the provisions of the World Anti-Doping Code, the UIPM Anti-Doping Rules and UIPM Anti-Doping Procedures.

**2.9** Athletes shall have the right of access to, and a copy of, their complete medical record. Such access shall normally exclude data concerning third parties.

**2.10** Athletes have the right to demand the rectification of any erroneous medical data in their files.

### **3. Pre-participation and Periodic health evaluation**

**3.1** Member (National) Federations shall use best efforts to ensure that all athletes under their jurisdiction competing in International Competitions are in a state of physical health that is compatible with elite level competition in athletics, so that risks (eg. sudden cardiac death) can be avoided.

**3.2** A pre-participation medical test is recommended for high level athletes. It shall be performed under the responsibility of a specially trained physician.

**3.3** Every Member Federation shall use its best efforts to ensure that appropriate and continuous medical monitoring of its athletes - with the main purpose of screening for injuries or medical conditions that may place an athlete at risk - is undertaken either internally or through an approved external body.

**3.4** If periodic health evaluation evidence indicates that an athlete is at serious medical risk, it is the duty of the Medical Delegate to intervene avoiding any health risk for the athlete and it has to be guaranteed them by the relevant authority.

**3.5.** Considering that pre-participation or periodic health evaluation can contribute to screening of athletic population and detection of asymptomatic silent diseases, to prevention of acute unexpected health problems or life-threatening events, to appropriate and precocious management of health conditions, to decision on the opportunity to participate in intensive sport activity, to opportunity for athletes to have continuous medical and health education contact and evaluation of medication or nutritional products, to avoidance of unwanted violation of WADA Anti-Doping rules, and to suggestions for applications of Therapeutic Use Exemptions, important aspects not to be missed in periodic health evaluation are:

- i. Familiarity with sudden cardiac death;
- ii. Detection of risk factors and groups;
- iii. Non-cardiac medical problems;
- iv. Risk factors for musculoskeletal injuries; and
- v. Eating disorders.

**3.6** Based on statistics, the physical evaluation shall focus on, but not only, cardiac and pulmonary systems of the athlete

**3.7** All UIPM athletes must have physical evaluations by their medical staff or their National Federation medical doctors. Records shall be kept on file on each of the UIPM Member Federations of the athletes' health and any subsequent injury or illness. In case of a significant lapse in training, an update medical evaluation is required that will also become part of a medical record on file

of the Member Federation.

### 3.8

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 Member Federations.

## 4.

## **Roles and responsibilities**

The mission of the Medical Committee is: to provide primary and emergency care to athletes, staff, officials, judges, volunteers, family members and spectators at all competition, training, and other event sites; to provide other medical support services needed to ensure the safety and health of the above described persons; and to arrange for referrals, where necessary, to a higher level of health care.

### 4.1

#### **UIPM medical team**

##### **Prior to the events the UIPM medical team is responsible to:**

- Liaise with the Local Organising Committee ("LOC") medical team as required to ensure adequate planning for the delivery of athlete care including the provision of Venue medical action plan, requirements for venue medical station and transport provision;
- Provide the LOC medical team advice regarding health care personnel requirements;
- Provide the LOC medical team with sport specific medical regulations;
- Provide LOC with a summary of medically related concerns from past UIPM events; and
- Provide LOC with UIPM communication policy for medically related issues.

##### **During UIPM events, the UIPM medical team is responsible to:**

- Support the LOC medical team to ensure quality control of athlete medical care provision in the venues;
- Support NF Team doctor to ensure access to LOC Medical team and medical services as required;
- Provide advice to LOC medical team to manage medical issues;
- Hold Ad-hoc meetings for emergency medical issues to assist in resolving acute medical issues and to review serious /critical medical events;
- Implement UIPM research initiatives;
- Support and implement UIPM safeguarding policies;
- Support UIPM anti-doping program as per UIPM Anti-Doping rules; and
- Provide advice to athletes regarding mental health support.



## **4.2 LOC Medical team**

### **Prior to the events, the LOC medical team is responsible to:**

- Collaborate with UIPM in planning of the medical program;
- Undertake a sport-specific medical risk assessment of all training and competition sites;
- Provide timeline for the organisation of the medical program;
- Provide venue medical plans and electronic venue medical information guide for each venue;
- Determine appropriate designated athlete and spectator hospital locations and arrange the necessary service contracts;
- Liaise with public health authorities to event risk mitigation strategies;
- Provide a list of common medications available/not available in the country;
- Provide drug and equipment importation regulations; and
- Liaise with local health delivery government departments to ensure coordination of venue medical disaster plans.

### **During UIPM events, the LOC medical team is responsible to:**

- Implement the medical program for all areas in venue (training, competition and athletes hotel);
- Undertake scenario based practice of the venue (field of play) extractions and parts of medical action plan on daily basis or at change of shift;
- Undertake Venue initial assessment, treatment and evacuation from the venue as per internationally recognized standards;
- Undertake medical care for athletes who do not have their own medical team;
- Complete the required documentation for the UIPM;
- Support the NF medical teams in the provision of medical care for the athletes;
- Implement UIPM Safeguarding Policies and procedures as applicable;
- Ensure all relevant staff are familiar with WADA Prohibited list and requirements for Therapeutic Use Exemptions; and
- Maintain medical confidentiality throughout the event.

## **4.3 NF Team doctor**

### **Prior to the events each of the NFs Team doctor is responsible to:**

- Adhere to host country governmental rules and regulations; and
- Inform the LOC medical team in confidence of any pre-existing medical

conditions for their athletes;

**During UIPM events each of the NFs Team doctor is responsible to:**

- o Attend venue medical meeting;
- o Understand the emergency medical evacuation procedures for injured or ill athlete and NF medical team role in evacuation; and
- o Be present at the venue at all time during training and competition.

## 5.

## Venue Medical Care

Venue medical care shall be implemented at the international standards of "Good Clinical Practice".

- 5.1** Medical staff must be available at least 1 hour before the start of the competition and remain until the competition is over.
- 5.2** The medical staff shall include a sports medicine physician or a primary care or emergency room physician with special interest in sports medicine and a veterinarian. Other physician staffing can include: orthopaedic surgeon; intensive care physicians; nurses; physicians' assistants; EMTs; and paramedics. Field of play medical team shall include minimum 4 medical personnel.
- 5.3** Medical staff has to be equipped with communication system in order to be able to communicate between them on-time.
- 5.4** Medical team should be easily recognisable to athletes and spectators, Distinctive identification markers including caps, arm bands, vests, t-shirts and/or bibs labelled with individual training level (physician, physiotherapist, nurse, EMT, etc.) shall be used for easy recognition of the medical team.
- 5.5** The LOC prior to the event shall appoint a medical director who will be the responsible person in charge of the competition and of the venue. The Medical Delegate and any other UIPM representative present will directly liaise with the Medical Director should they require assistance.
- 5.6** The medical director shall set a Venue medical meeting with team representatives and instruct them where to find basic health care facilities and about safety features in all venues.
- 5.7** Health care providers who care for athletes shall have the necessary education, training and experience in sports medicine, and keep their knowledge up to date. For example, venue medical personnel should be competent in the latest Advanced Trauma Life Support (ATLS) and Advanced Cardiac Life Support (ACLS) guidelines. For the assessment and treatment of sport injuries, the IOC Manual of Sports Injuries may be used as a reference. They shall understand the physical and emotional demands placed upon athletes during training and competition, as well as the commitment and necessary capacity to support the extraordinary physical and emotional endurance that sport requires.
- 5.8** A minimum of one ambulance must be on site at all times and two ambulances during riding event.
- 5.9** Team Doctors from the different countries should be permanently informed whether their athletes required medical assistance in the field,



or in the main treatment area. The Medical Director should make the necessary arrangements to ensure that a member of the Medical Committee will liaise with Team Doctors and provide them with any medical information on their athletes.

- 5.10** Medical staff has to guarantee medical data recording and reporting.
- 5.11** To prevent any transmission of blood born viral diseases from participants or by pieces of equipment to participants, all athletes with bleeding wounds and blood-stained equipment must be removed from the competition and cleaned as well as disinfected before returning to the event. Bandaging of the injured area must be accomplished so as to prevent contamination to others.
- 5.12** Fencing and Riding are more dangerous disciplines which require a faster accessibility to medical assistance. On site medical care with resuscitation capability is recommended. General medical assistance must be available to all participants and spectators.
- 5.13** Sanitary facilities must be provided for athletes and participants at each event site.
- 5.14** Designated separate areas for eating, resting, changing and warming up for athletes should be provided.
- 5.15** Ice in bag or quick-cold packs for competition and training must be provided.

## 6. Sport Medical Risk assessment

A Sport Medical Risk assessment should be carried out for all UIPM events to highlight specific areas of health risk and to stratify these risks according to the probability or likelihood of occurrence and the potential seriousness or risk impact of the consequences.

- 6.1** The risk of heat illness increases above 21°C (70°F) and 50% relative humidity. The wet bulb globe temperature (WBGT) which measures the combined thermal stress from the wet bulb (WBT), dry bulb (DBT), and black globe (BGT) thermometers has been widely used to assess environmental heat stress. The WBGT is calculated as  $0.7WBT + 0.2BGT + 0.1DBT$ , measured outdoors.

Considering that environmental conditions impact the health and safety of all human beings and also the athlete, the scheduling of events and order of events must be made such as to take advantage of the coolness of the morning in the hot climates and the warmth of the midday in the cooler climates if the events are outdoors.

The completed risk assessment should be included in the venue medical plan. For the risk assessment it is recommended to use following matrix:

		Consequence				
		Insignificant	Minor	Moderate	Major	Catastrophic
Likelihood		1	2	3	4	5
Rare	1	1	2	3	4	5
Unlikely	2	2	4	6	8	10
Possible	3	3	6	9	12	15
Likely	4	4	8	12	16	20
Highly likely	5	5	10	15	20	25

 Lowest risk
  Low risk
  Medium risk
  High risk

## 7. Emergency action plan

An emergency action plan shall be clearly drafted by the relevant LOC for each event taking into consideration the sport specific risk. It should include:

- Procedures for how and when to access Field of Play;
- Emergency treatment and evacuation procedures from Field of Play;
- Emergency Medical protocol for the athlete stations;
- The egress pathway from the Field of Play to either the Athlete venue medical station or Ambulance;
- Location of Ambulances;
- Location of Automatic external defibrillators;
- Completion of medical records, including the maintenance of confidentiality;
- Communication procedures (who, how and when) for communicating with each of:
  - o Ambulance/emergency medical service;
  - o Medical Director or, if one is appointed, venue medical manager;
  - o Designated hospital;
  - o Members of the LOC team;
  - o UIPM Medical Chairperson and Committee; and
  - o Media.

## 8. Athlete nutrition

- 8.1** LOCs must provide adequate fluids and food for breakfast, lunch and snacks at all competition sites. An estimate of the average calorie intake for a 1.85m, 80kg male athlete is 3000 calories.

Fluid intake must average between 3-6 litres per person on a daily basis, depending on the heat and humidity. Sports drinks must be between 6-8% carbohydrate concentrations. All selection of drinks available or at least bottled water has to be reachable to all athletes directly in all venues (warm up area, stadium...) in order to avoid de-hydration of athletes.

- 8.2** Some of the food selection may be limited by the ability to keep certain foods cold. Nutrition guidelines are to be respected (see Annex 1).

- 8.3** The local Medical Team (Physician and Veterinarian) shall supervise environmental health, sanitation of food and safety at all venues, including housing facilities, and training and competition sites. The local medical committee will be informed about any possible reports of communicable and food-borne illnesses, and will co-operate with local public health authorities, especially in cases of infectious diseases manifested by a rash and fever (measles, rubella, varicella, dengue fever, etc.), gastro-intestinal illnesses; hepatitis; influenza-like illnesses; and sexually-transmitted diseases.



## 9. Injections

- 9.1** The UIPM is committed to a “no needle policy”. During UIPM Events (from 24 hours before the start of the Competition), any injection to any site of an athlete’s body of any substance:
- 9.1.1.** Must be medically justified based on latest recognized scientific knowledge and evidence based medicine. Justification includes physical examination by a certified medical doctor (M.D.), diagnosis, medication, route of administration and appropriate documentation;
  - 9.1.2.** Must respect the approved indication of the medication (= no off-label treatment) and there must be no non-injectable alternative treatment available;
  - 9.1.3.** Must be administered by a certified medical professional;
  - 9.1.4.** Must be reported immediately and in writing to the UIPM Medical Delegate or if not present to the Technical delegate (except athletes with a valid TUE for the relevant competition). The report must include the diagnosis, medication and route of administration.
  - 9.1.5.** In case of a local injection of glucocorticosteroids, the athlete must be put at rest and prevented from competing for 48 hours.
  - 9.1.6.** In case of an injection of a prohibited drug, the normal procedure foreseen in the International Standard for Therapeutic Use Exemptions has to be followed.
- 9.2** The disposal of used needles, syringes and other biomedical material which may affect the security and safety of others, including blood sampling (e.g. lactates...) and other diagnostic equipment shall conform to recognized safety standards.
- 9.3** Any violation of one of these principles may constitute a violation of the UIPM Rules and may lead to penalties for the team doctor, the athlete or the team manager, including exclusion of the person concerned or, where appropriate, disqualification of the whole team from the Competition.
- 9.4** The costs of any investigations related to this rule may be charged to the member federation concerned.

## 10. Veterinary Care

- 10.1** A veterinarian must be available for animal care during the whole duration of the competition, from the moment the horses arrive to the venue and including the Jumping Test, too.
- 10.2** All horses have to be inspected by a veterinarian 1 day before competition and the result has to be communicated to the UIPM Technical Delegate or other representative of UIPM in case of absence of UIPM Technical Delegate, assigned to the competition.
- 10.3** Horses are not eligible to compete at any time when any limb or part of a limb has been temporarily or permanently desensitised by any means. Hypersensitisation of limbs is considered an abuse of horses.

- 10.4** Horses are not eligible to compete at any time when there is a suspicion that horses mental health might be in danger. This finding needs to be reported immediately to the Technical Delegate or Pentathlon Director where Technical Delegate is not present.
- 10.5** 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.
- 10.6** The Veterinarian present on site shall decide, together with the Technical Delegate, 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 Veterinarian, the UIPM Medical Delegate and the 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.
- 10.7** The Veterinarian present on site shall decide, together with the Technical Delegate, 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 there is no Technical Delegate the Pentathlon Director is responsible to ensure the application of this rule as well as to participate in the decision process along with the veterinarian present on site.



## ANNEX 1

### NUTRITION AND FLUID REQUIREMENTS FOR MODERN PENTATHLON

Adequate caloric intake and optimal hydration are essential to provide the energy necessary for peak performance and injury prevention. An average 1.85m, 80Kg. male pentathlete will consume approximately 3000 calories during a competition day. This intake may be greater during heavy training days. **No supplements are to be provided or offered by the Organising Committee to the athletes.**

#### FLUID INTAKE

Fluid intake should average between 3 and 6 litres per athlete, depending on heat, humidity, and size of athlete. There should be unlimited amounts of fluids available. Water is the best choice for hydration. It may be supplemented with sport drinks with carbohydrate concentrations between 6–8%. Higher carbohydrate concentrations cause a slowing of absorption into the body systems thus slowing hydration.

Liquids for hydration must be located close to athletes during competition. Research and experience show that if an athlete must look for or go get fluids during competition, they will not drink properly. Drinks should be available iced as well as at room temperature.

#### NUTRITIONAL INTAKE

##### BREAKFAST

Ideally the pre-competition meal should be taken approximately 3 hours prior to competition. A variety of foods should be available to accommodate athletes from all countries.

##### SUGGESTED BREAKFAST FOODS

Bagels, rolls, muffins	Fruits – bananas, apples, oranges, other fruits.
Yoghurt, low-fat and fat-free	Bread with, cream cheese, jam, and butter
Whole grain cereals with low-fat and skim milk	Eggs (boiled or scrambled)
Fruit juices, water, sport drinks	Coffee, tea

##### LUNCH

The lunch meal may provide the most problems for the event organisers. Not all athletes will want or need to eat at the same time during the competition. Some may want to eat following fencing, prior to swimming others following swimming, prior to the riding event. It is very important that all athletes have the opportunity to eat lunch when necessary. This may require the availability of lunch foods at more than one venue. Transportation and refrigeration of cold foods may present problems that must be planned for. Areas should be set up in close proximity of the competition for provide easy access for the athletes. Also access needs to be restricted to athletes and their coach. LOC staff and volunteers should have a separate area for their lunch.

**LUNCH SUGGESTIONS**

Sandwiches – turkey, chicken, cheese	Yoghurt, low-fat and fat-free
Pasta salad using Italian type dressing, no mayonnaise	Fruit – bananas, apples, oranges, other fruit
Raw vegetables – carrot sticks, broccoli, tomatoes,	Water and sport drinks

**SNACKS**

Snacks should be available to the athletes throughout the competition day. Like the supply of fluids, snacks should be easily assessable to the athletes but not to the general public and others in attendance. If the needs of the athlete are not taken care of, performance may be affected.

**SUGGESTED SNACKS**

Cookies, oatmeal and other low-fat varieties	Granola bars
Fruit – bananas, apples, oranges, etc	Water and sport drinks

*It may be a good practice to provide each athlete with a package containing various snack foods and drinks at the beginning of the competition day with supplies to replenish throughout the day.*



## ANNEX 2

### MINIMUM REQUIRED MEDICAL EQUIPMENT

The equipment shall include at the minimum the following:

#### 1. Central medical post

- Stretchers for transport with spinal stabilisation option, (scoop stretcher, vacuum mattress),
- Portable oxygenator,
- Ventilation equipment,
- Aspiration equipment
- Intubation equipment,
- ECG monitor and defibrillator,
- Pulse oximeter,
- Neck collars (braces),
- Blood-pressure apparatus and stethoscope,
- Resuscitation medicines and analgesics/IV drip liquids,
- First aid equipment and medicines.

#### 2. First aid teams

- ALS case containing intubation equipment, infusion solutions, administration materials,
- Oxygen mechanical ventilators and pulse oximetry,
- Blood Pressure equipment,
- Glucose meter,
- Intravenous medication,
- Defibrillator,
- ATLS suitcase containing sutures, bandages.

#### 3. Ambulances

- Stretchers for transport with spinal stabilisation option (scoop stretcher, vacuum mattress),
- Portable oxygenators,
- Ventilation equipment,
- Intubation equipment,
- Aspiration equipment,
- ECG monitor and defibrillator,
- Pulse oximeter,
- Intravenous drip apparatus,
- Blood pressure apparatus and stethoscope,
- Splints and immobilization equipment for limbs and spine (including neck collars and braces),
- Tracheotomy equipment,
- First aid equipment and medicines.

# SCAT5<sup>®</sup>

## SPORT CONCUSSION ASSESSMENT TOOL – 5TH EDITION

DEVELOPED BY THE CONCUSSION IN SPORT GROUP  
FOR USE BY MEDICAL PROFESSIONALS ONLY

supported by



FIFA<sup>®</sup>



FEI

### Patient details

Name: \_\_\_\_\_  
DOB: \_\_\_\_\_  
Address: \_\_\_\_\_  
ID number: \_\_\_\_\_  
Examiner: \_\_\_\_\_  
Date of Injury: \_\_\_\_\_ Time: \_\_\_\_\_

## WHAT IS THE SCAT5?

**The SCAT5 is a standardized tool for evaluating concussions designed for use by physicians and licensed healthcare professionals<sup>1</sup>. The SCAT5 cannot be performed correctly in less than 10 minutes.**

If you are not a physician or licensed healthcare professional, please use the Concussion Recognition Tool 5 (CRT5). The SCAT5 is to be used for evaluating athletes aged 13 years and older. For children aged 12 years or younger, please use the Child SCAT5.

Preseason SCAT5 baseline testing can be useful for interpreting post-injury test scores, but is not required for that purpose. Detailed instructions for use of the SCAT5 are provided on page 7. Please read through these instructions carefully before testing the athlete. Brief verbal instructions for each test are given in italics. The only equipment required for the tester is a watch or timer.

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## Recognise and Remove

A head impact by either a direct blow or indirect transmission of force can be associated with a serious and potentially fatal brain injury. If there are significant concerns, including any of the red flags listed in Box 1, then activation of emergency procedures and urgent transport to the nearest hospital should be arranged.

### Key points

- Any athlete with suspected concussion should be REMOVED FROM PLAY, medically assessed and monitored for deterioration. No athlete diagnosed with concussion should be returned to play on the day of injury.
- If an athlete is suspected of having a concussion and medical personnel are not immediately available, the athlete should be referred to a medical facility for urgent assessment.
- Athletes with suspected concussion should not drink alcohol, use recreational drugs and should not drive a motor vehicle until cleared to do so by a medical professional.
- Concussion signs and symptoms evolve over time and it is important to consider repeat evaluation in the assessment of concussion.
- The diagnosis of a concussion is a clinical judgment, made by a medical professional. The SCAT5 should NOT be used by itself to make, or exclude, the diagnosis of concussion. An athlete may have a concussion even if their SCAT5 is "normal".

### Remember:

- The basic principles of first aid (danger, response, airway, breathing, circulation) should be followed.
- Do not attempt to move the athlete (other than that required for airway management) unless trained to do so.
- Assessment for a spinal cord injury is a critical part of the initial on-field assessment.
- Do not remove a helmet or any other equipment unless trained to do so safely.



1

## IMMEDIATE OR ON-FIELD ASSESSMENT

The following elements should be assessed for all athletes who are suspected of having a concussion prior to proceeding to the neurocognitive assessment and ideally should be done on-field after the first first aid / emergency care priorities are completed.

If any of the "Red Flags" or observable signs are noted after a direct or indirect blow to the head, the athlete should be immediately and safely removed from participation and evaluated by a physician or licensed healthcare professional.

Consideration of transportation to a medical facility should be at the discretion of the physician or licensed healthcare professional.

The GCS is important as a standard measure for all patients and can be done serially if necessary in the event of deterioration in conscious state. The Maddocks questions and cervical spine exam are critical steps of the immediate assessment; however, these do not need to be done serially.

## STEP 1: RED FLAGS

### RED FLAGS:

- Neck pain or tenderness
- Double vision
- Weakness or tingling/burning in arms or legs
- Severe or increasing headache
- Seizure or convulsion
- Loss of consciousness
- Deteriorating conscious state
- Vomiting
- Increasingly restless, agitated or combative

## STEP 2: OBSERVABLE SIGNS

Witnessed ☐ Observed on Video ☐

Lying motionless on the playing surface	Y	N
Balance / gait difficulties / motor incoordination: stumbling, slow / laboured movements	Y	N
Disorientation or confusion, or an inability to respond appropriately to questions	Y	N
Blank or vacant look	Y	N
Facial injury after head trauma	Y	N

## STEP 3: MEMORY ASSESSMENT MADDOCKS QUESTIONS<sup>2</sup>

*"I am going to ask you a few questions, please listen carefully and give your best effort. First, tell me what happened?"*

Mark Y for correct answer / N for incorrect

What venue are we at today?	Y	N
Which half is it now?	Y	N
Who scored last in this match?	Y	N
What team did you play last week / game?	Y	N
Did your team win the last game?	Y	N

Note: Appropriate sport-specific questions may be substituted.

Name: \_\_\_\_\_  
 DOB: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 ID number: \_\_\_\_\_  
 Examiner: \_\_\_\_\_  
 Date: \_\_\_\_\_

## STEP 4: EXAMINATION

### GLASGOW COMA SCALE (GCS)<sup>3</sup>

Time of assessment			
Date of assessment			
<b>Best eye response (E)</b>			
No eye opening	1	1	1
Eye opening in response to pain	2	2	2
Eye opening to speech	3	3	3
Eyes opening spontaneously	4	4	4
<b>Best verbal response (V)</b>			
No verbal response	1	1	1
Incomprehensible sounds	2	2	2
Inappropriate words	3	3	3
Confused	4	4	4
Oriented	5	5	5
<b>Best motor response (M)</b>			
No motor response	1	1	1
Extension to pain	2	2	2
Abnormal flexion to pain	3	3	3
Flexion / Withdrawal to pain	4	4	4
Localizes to pain	5	5	5
Obeys commands	6	6	6
Glasgow Coma score (E + V + M)			

## CERVICAL SPINE ASSESSMENT

Does the athlete report that their neck is pain free at rest?	Y	N
If there is NO neck pain at rest, does the athlete have a full range of ACTIVE pain free movement?	Y	N
Is the limb strength and sensation normal?	Y	N

**In a patient who is not lucid or fully conscious, a cervical spine injury should be assumed until proven otherwise.**

## OFFICE OR OFF-FIELD ASSESSMENT

Please note that the neurocognitive assessment should be done in a distraction-free environment with the athlete in a resting state.

### STEP 1: ATHLETE BACKGROUND

Sport / team / school: \_\_\_\_\_

Date / time of injury: \_\_\_\_\_

Years of education completed: \_\_\_\_\_

Age: \_\_\_\_\_

Gender: M / F / Other

Dominant hand: left / neither / right

How many diagnosed concussions has the athlete had in the past?: \_\_\_\_\_

When was the most recent concussion?: \_\_\_\_\_

How long was the recovery (time to being cleared to play) from the most recent concussion?: \_\_\_\_\_ (days)

#### Has the athlete ever been:

Hospitalized for a head injury?	Yes	No
Diagnosed / treated for headache disorder or migraines?	Yes	No
Diagnosed with a learning disability / dyslexia?	Yes	No
Diagnosed with ADD / ADHD?	Yes	No
Diagnosed with depression, anxiety or other psychiatric disorder?	Yes	No

Current medications? If yes, please list:

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Name: \_\_\_\_\_

DOB: \_\_\_\_\_

Address: \_\_\_\_\_

ID number: \_\_\_\_\_

Examiner: \_\_\_\_\_

Date: \_\_\_\_\_

2

### STEP 2: SYMPTOM EVALUATION

The athlete should be given the symptom form and asked to read this instruction paragraph out loud then complete the symptom scale. For the baseline assessment, the athlete should rate his/her symptoms based on how he/she typically feels and for the post injury assessment the athlete should rate their symptoms at this point in time.

Please Check: ☐ Baseline ☐ Post-Injury

Please hand the form to the athlete

	none	mild		moderate		severe	
Headache	0	1	2	3	4	5	6
"Pressure in head"	0	1	2	3	4	5	6
Neck Pain	0	1	2	3	4	5	6
Nausea or vomiting	0	1	2	3	4	5	6
Dizziness	0	1	2	3	4	5	6
Blurred vision	0	1	2	3	4	5	6
Balance problems	0	1	2	3	4	5	6
Sensitivity to light	0	1	2	3	4	5	6
Sensitivity to noise	0	1	2	3	4	5	6
Feeling slowed down	0	1	2	3	4	5	6
Feeling like "in a fog"	0	1	2	3	4	5	6
"Don't feel right"	0	1	2	3	4	5	6
Difficulty concentrating	0	1	2	3	4	5	6
Difficulty remembering	0	1	2	3	4	5	6
Fatigue or low energy	0	1	2	3	4	5	6
Confusion	0	1	2	3	4	5	6
Drowsiness	0	1	2	3	4	5	6
More emotional	0	1	2	3	4	5	6
Irritability	0	1	2	3	4	5	6
Sadness	0	1	2	3	4	5	6
Nervous or Anxious	0	1	2	3	4	5	6
Trouble falling asleep (if applicable)	0	1	2	3	4	5	6

Total number of symptoms: \_\_\_\_\_ of 22

Symptom severity score: \_\_\_\_\_ of 132

Do your symptoms get worse with physical activity? Y N

Do your symptoms get worse with mental activity? Y N

If 100% is feeling perfectly normal, what percent of normal do you feel?

If not 100%, why?

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Please hand form back to examiner

3

**STEP 3: COGNITIVE SCREENING**Standardised Assessment of Concussion (SAC)<sup>4</sup>**ORIENTATION**

What month is it?	0	1
What is the date today?	0	1
What is the day of the week?	0	1
What year is it?	0	1
What time is it right now? (within 1 hour)	0	1
<b>Orientation score</b>	<b>of 5</b>	

**IMMEDIATE MEMORY**

The Immediate Memory component can be completed using the traditional 5-word per trial list or optionally using 10-words per trial to minimise any ceiling effect. All 3 trials must be administered irrespective of the number correct on the first trial. Administer at the rate of one word per second.

Please choose EITHER the 5 or 10 word list groups and circle the specific word list chosen for this test.

I am going to test your memory. I will read you a list of words and when I am done, repeat back as many words as you can remember, in any order. For Trials 2 & 3: I am going to repeat the same list again. Repeat back as many words as you can remember in any order, even if you said the word before.

List	Alternate 5 word lists						Score (of 5)		
							Trial 1	Trial 2	Trial 3
A	Finger	Penny	Blanket	Lemon	Insect				
B	Candle	Paper	Sugar	Sandwich	Wagon				
C	Baby	Monkey	Perfume	Sunset	Iron				
D	Elbow	Apple	Carpet	Saddle	Bubble				
E	Jacket	Arrow	Pepper	Cotton	Movie				
F	Dollar	Honey	Mirror	Saddle	Anchor				
<b>Immediate Memory Score</b>							<b>of 15</b>		
<b>Time that last trial was completed</b>									

List	Alternate 10 word lists						Score (of 10)		
							Trial 1	Trial 2	Trial 3
G	Finger	Penny	Blanket	Lemon	Insect				
	Candle	Paper	Sugar	Sandwich	Wagon				
H	Baby	Monkey	Perfume	Sunset	Iron				
	Elbow	Apple	Carpet	Saddle	Bubble				
I	Jacket	Arrow	Pepper	Cotton	Movie				
	Dollar	Honey	Mirror	Saddle	Anchor				
<b>Immediate Memory Score</b>							<b>of 30</b>		
<b>Time that last trial was completed</b>									

Name: \_\_\_\_\_  
 DOB: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 ID number: \_\_\_\_\_  
 Examiner: \_\_\_\_\_  
 Date: \_\_\_\_\_

**CONCENTRATION****DIGITS BACKWARDS**

Please circle the Digit list chosen (A, B, C, D, E, F). Administer at the rate of one digit per second reading DOWN the selected column.

I am going to read a string of numbers and when I am done, you repeat them back to me in reverse order of how I read them to you. For example, if I say 7-1-9, you would say 9-1-7.

Concentration Number Lists (circle one)					
List A	List B	List C			
4-9-3	5-2-6	1-4-2	Y	N	0
6-2-9	4-1-5	6-5-8	Y	N	1
3-8-1-4	1-7-9-5	6-8-3-1	Y	N	0
3-2-7-9	4-9-6-8	3-4-8-1	Y	N	1
6-2-9-7-1	4-8-5-2-7	4-9-1-5-3	Y	N	0
1-5-2-8-6	6-1-8-4-3	6-8-2-5-1	Y	N	1
7-1-8-4-6-2	8-3-1-9-6-4	3-7-6-5-1-9	Y	N	0
5-3-9-1-4-8	7-2-4-8-5-6	9-2-6-5-1-4	Y	N	1
List D	List E	List F			
7-8-2	3-8-2	2-7-1	Y	N	0
9-2-6	5-1-8	4-7-9	Y	N	1
4-1-8-3	2-7-9-3	1-6-8-3	Y	N	0
9-7-2-3	2-1-6-9	3-9-2-4	Y	N	1
1-7-9-2-6	4-1-8-6-9	2-4-7-5-8	Y	N	0
4-1-7-5-2	9-4-1-7-5	8-3-9-6-4	Y	N	1
2-6-4-8-1-7	6-9-7-3-8-2	5-8-6-2-4-9	Y	N	0
8-4-1-9-3-5	4-2-7-9-3-8	3-1-7-8-2-6	Y	N	1
<b>Digits Score:</b>					<b>of 4</b>

**MONTHS IN REVERSE ORDER**

Now tell me the months of the year in reverse order. Start with the last month and go backward. So you'll say December, November. Go ahead.

Dec - Nov - Oct - Sept - Aug - Jul - Jun - May - Apr - Mar - Feb - Jan	0	1
<b>Months Score</b>	<b>of 1</b>	
<b>Concentration Total Score (Digits + Months)</b>	<b>of 5</b>	

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Echemendia RJ, et al. Br J Sports Med 2017;51:851-858. doi:10.1136/bjsports-2017-097506SCAT5



4

**STEP 4: NEUROLOGICAL SCREEN**

See the instruction sheet (page 7) for details of test administration and scoring of the tests.

Can the patient read aloud (e.g. symptom check-list) and follow instructions without difficulty?	Y	N
Does the patient have a full range of pain-free PASSIVE cervical spine movement?	Y	N
Without moving their head or neck, can the patient look side-to-side and up-and-down without double vision?	Y	N
Can the patient perform the finger nose coordination test normally?	Y	N
Can the patient perform tandem gait normally?	Y	N

**BALANCE EXAMINATION****Modified Balance Error Scoring System (mBESS) testing<sup>6</sup>**

Which foot was tested (i.e. which is the non-dominant foot)	<input type="checkbox"/> Left <input type="checkbox"/> Right
Testing surface (hard floor, field, etc.)	
Footwear (shoes, barefoot, braces, tape, etc.)	
Condition	Errors
Double leg stance	of 10
Single leg stance (non-dominant foot)	of 10
Tandem stance (non-dominant foot at the back)	of 10
<b>Total Errors</b>	<b>of 30</b>

Name: \_\_\_\_\_  
 DOB: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 ID number: \_\_\_\_\_  
 Examiner: \_\_\_\_\_  
 Date: \_\_\_\_\_

5

**STEP 5: DELAYED RECALL:**

The delayed recall should be performed after 5 minutes have elapsed since the end of the Immediate Recall section. Score 1 pt. for each correct response.

*Do you remember that list of words I read a few times earlier? Tell me as many words from the list as you can remember in any order.*

Time Started

Please record each word correctly recalled. Total score equals number of words recalled.

Total number of words recalled accurately: of 5 or of 10

6

**STEP 6: DECISION**

Domain	Date & time of assessment:		
Symptom number (of 22)			
Symptom severity score (of 132)			
Orientation (of 5)			
Immediate memory	of 15 of 30	of 15 of 30	of 15 of 30
Concentration (of 5)			
Neuro exam	Normal Abnormal	Normal Abnormal	Normal Abnormal
Balance errors (of 30)			
Delayed Recall	of 5 of 10	of 5 of 10	of 5 of 10

Date and time of injury: \_\_\_\_\_

If the athlete is known to you prior to their injury, are they different from their usual self?

☐ Yes ☐ No ☐ Unsure ☐ Not Applicable

(If different, describe why in the clinical notes section)

Concussion Diagnosed?

☐ Yes ☐ No ☐ Unsure ☐ Not Applicable

If re-testing, has the athlete improved?

☐ Yes ☐ No ☐ Unsure ☐ Not Applicable

**I am a physician or licensed healthcare professional and I have personally administered or supervised the administration of this SCAT5.**

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Registration number (if applicable): \_\_\_\_\_

Date: \_\_\_\_\_

**SCORING ON THE SCAT5 SHOULD NOT BE USED AS A STAND-ALONE METHOD TO DIAGNOSE CONCUSSION, MEASURE RECOVERY OR MAKE DECISIONS ABOUT AN ATHLETE'S READINESS TO RETURN TO COMPETITION AFTER CONCUSSION.**

## CLINICAL NOTES:

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Name: \_\_\_\_\_  
 DOB: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 ID number: \_\_\_\_\_  
 Examiner: \_\_\_\_\_  
 Date: \_\_\_\_\_



## CONCUSSION INJURY ADVICE

(To be given to the person monitoring the concussed athlete)

This patient has received an injury to the head. A careful medical examination has been carried out and no sign of any serious complications has been found. Recovery time is variable across individuals and the patient will need monitoring for a further period by a responsible adult. Your treating physician will provide guidance as to this timeframe.

**If you notice any change in behaviour, vomiting, worsening headache, double vision or excessive drowsiness, please telephone your doctor or the nearest hospital emergency department immediately.**

Other important points:

**Initial rest: Limit physical activity to routine daily activities (avoid exercise, training, sports) and limit activities such as school, work, and screen time to a level that does not worsen symptoms.**

- 1) Avoid alcohol
- 2) Avoid prescription or non-prescription drugs without medical supervision. Specifically:
  - a) Avoid sleeping tablets
  - b) Do not use aspirin, anti-inflammatory medication or stronger pain medications such as narcotics
- 3) Do not drive until cleared by a healthcare professional.
- 4) Return to play/sport requires clearance by a healthcare professional.

Clinic phone number: \_\_\_\_\_

Patient's name: \_\_\_\_\_

Date / time of injury: \_\_\_\_\_

Date / time of medical review: \_\_\_\_\_

Healthcare Provider: \_\_\_\_\_

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Contact details or stamp



## INSTRUCTIONS

Instructions in *italics* throughout the SCAT5 are the instructions given to the athlete by the clinician

### Symptom Scale

The time frame for symptoms should be based on the type of test being administered. At baseline it is advantageous to assess how an athlete "typically" feels whereas during the acute/post-acute stage it is best to ask how the athlete feels at the time of testing.

The symptom scale should be completed by the athlete, not by the examiner. In situations where the symptom scale is being completed after exercise, it should be done in a resting state, generally by approximating his/her resting heart rate.

Total number of symptoms, maximum possible is 22 except immediately post injury, if sleep item is omitted, which then creates a maximum of 21.

Symptom severity score, add all scores in table, maximum possible is 22 x 6 = 132, except immediately post injury if sleep item is omitted, which then creates a maximum of 21 x 6 = 126.

### Immediate Memory

The Immediate Memory component can be completed using the traditional 5-word trial list or, optionally, using 10-words per trial. The literature suggests that Immediate Memory has a notable ceiling effect when a 5-word list is used. In situations where this ceiling is prominent, the examiner may wish to make the task more difficult by incorporating two 5-word groups for a total of 10 words per trial. In this case, the maximum score per trial is 10 with a total trial maximum of 30.

Use one of the word lists (either 5 or 10). Then perform 3 trials of immediate memory using this list.

Complete all 3 trials regardless of score on previous trials.

*"I am going to test your memory. I will read you a list of words and when I am done, at back as many words as you can remember, in any order." The words must be read at a rate of one word per second.*

§ 2 & 3 MUST be completed regardless of score on trial 1 & 2.

§ 2 & 3:

*"I am going to repeat the same list again. Repeat back as many words as you can remember in any order, even if you said the word before."*

§ 1 pt. for each correct response. Total score equals sum across all 3 trials. IOT inform the athlete that delayed recall will be tested.

### Concentration

#### Digits backward

Use one column of digits from lists A, B, C, D, E or F and administer those digits as follows:

*"I am going to read a string of numbers and when I am done, you repeat them to me in reverse order of how I read them to you. For example, if I say 7-1-9, you would say 9-1-7."*

Begin with first 3 digit string.

For correct, circle "Y" for correct and go to next string length. If incorrect, circle "N" for incorrect string length and read trial 2 in the same string length. One point possible for each string length. Stop after incorrect on both trials (2 N's) in a string length. Digits should be read at the rate of one per second.

### Months in reverse order

*"I tell me the months of the year in reverse order. Start with the last month and work backward. So you'll say December, November ... Go ahead"*

1 pt. for entire sequence correct

### Delayed Recall

Delayed recall should be performed after 5 minutes have elapsed since the end of the Immediate Recall section.

*"Do you remember that list of words I read a few minutes earlier? Tell me as many words from the list as you can remember in any order."*

§ 1 pt. for each correct response

### Modified Balance Error Scoring System (mBESS)<sup>5</sup> testing

Balance testing is based on a modified version of the Balance Error Scoring System (BESS)<sup>5</sup>. A timing device is required for this testing.

1 of 20-second trial/stance is scored by counting the number of errors. The timer will begin counting errors only after the athlete has assumed the proper starting position. The modified BESS is calculated by adding one error point for each error during the three 20-second tests. The maximum number of errors for any one condition is 10. If the athlete commits multiple errors simultaneously, only

one error is recorded but the athlete should quickly return to the testing position, and counting should resume once the athlete is set. Athletes that are unable to maintain the testing procedure for a minimum of five seconds at the start are assigned the highest possible score, ten, for that testing condition.

OPTION: For further assessment, the same 3 stances can be performed on a surface of medium density foam (e.g., approximately 50cm x 40cm x 6cm).

### Balance testing – types of errors

- |                                 |   |   |
|---------------------------------|---|---|
| 1. Hands lifted off iliac crest | 3. Step, stumble, or fall                 | 5. Lifting forefoot or heel               |
| 2. Opening eyes                 | 4. Moving hip into > 30 degrees abduction | 6. Remaining out of test position > 5 sec |

*"I am now going to test your balance. Please take your shoes off (if applicable), roll up your pant legs above ankle (if applicable), and remove any ankle taping (if applicable). This test will consist of three twenty second tests with different stances."*

(a) Double leg stance:

*"The first stance is standing with your feet together with your hands on your hips and with your eyes closed. You should try to maintain stability in that position for 20 seconds. I will be counting the number of times you move out of this position. I will start timing when you are set and have closed your eyes."*

(b) Single leg stance:

*"If you were to kick a ball, which foot would you use? [This will be the dominant foot] Now stand on your non-dominant foot. The dominant leg should be held in approximately 30 degrees of hip flexion and 45 degrees of knee flexion. Again, you should try to maintain stability for 20 seconds with your hands on your hips and your eyes closed. I will be counting the number of times you move out of this position. If you stumble out of this position, open your eyes and return to the start position and continue balancing. I will start timing when you are set and have closed your eyes."*

(c) Tandem stance:

*"Now stand heel-to-toe with your non-dominant foot in back. Your weight should be evenly distributed across both feet. Again, you should try to maintain stability for 20 seconds with your hands on your hips and your eyes closed. I will be counting the number of times you move out of this position. If you stumble out of this position, open your eyes and return to the start position and continue balancing. I will start timing when you are set and have closed your eyes."*

### Tandem Gait

Participants are instructed to stand with their feet together behind a starting line (the test is best done with footwear removed). Then, they walk in a forward direction as quickly and as accurately as possible along a 38mm wide (sports tape), 3 metre line with an alternate foot heel-to-toe gait ensuring that they approximate their heel and toe on each step. Once they cross the end of the 3m line, they turn 180 degrees and return to the starting point using the same gait. Athletes fail the test if they step off the line, have a separation between their heel and toe, or if they touch or grab the examiner or an object.

### Finger to Nose

*"I am going to test your coordination now. Please sit comfortably on the chair with your eyes open and your arm (either right or left) outstretched (shoulder flexed to 90 degrees and elbow and fingers extended), pointing in front of you. When I give a start signal, I would like you to perform five successive finger to nose repetitions using your index finger to touch the tip of the nose, and then return to the starting position, as quickly and as accurately as possible."*

### References

1. McCrory et al. Consensus Statement On Concussion In Sport – The 5th International Conference On Concussion In Sport Held In Berlin, October 2016. British Journal of Sports Medicine 2017 (available at [www.bjsm.bmj.com](http://www.bjsm.bmj.com))
2. Maddocks, DL; Dicker, GD; Saling, MM. The assessment of orientation following concussion in athletes. Clinical Journal of Sport Medicine 1995; 5: 32-33
3. Jennett, B., Bond, M. Assessment of outcome after severe brain damage: a practical scale. Lancet 1975; i: 480-484
4. McCrea M. Standardized mental status testing of acute concussion. Clinical Journal of Sport Medicine. 2001; 11: 176-181
5. Guskiewicz KM. Assessment of postural stability following sport-related concussion. Current Sports Medicine Reports. 2003; 2: 24-30



## CONCUSSION INFORMATION

**Any athlete suspected of having a concussion should be removed from play and seek medical evaluation.**

### Signs to watch for

Problems could arise over the first 24-48 hours. The athlete should not be left alone and must go to a hospital at once if they experience:

- Worsening headache
- Repeated vomiting
- Weakness or numbness in arms or legs
- Drowsiness or inability to be awakened
- Unusual behaviour or confusion or irritable
- Unsteadiness on their feet.
- Inability to recognize people or places
- Seizures (arms and legs jerk uncontrollably)
- Slurred speech

**Consult your physician or licensed healthcare professional after a suspected concussion. Remember, it is better to be safe.**

### Rest & Rehabilitation

After a concussion, the athlete should have physical rest and relative cognitive rest for a few days to allow their symptoms to improve. In most cases, after no more than a few days of rest, the athlete should gradually increase their daily activity level as long as their symptoms do not worsen. Once the athlete is able to complete their usual daily activities without concussion-related symptoms, the second step of the return to play/sport progression can be started. The athlete should not return to play/sport until their concussion-related symptoms have resolved and the athlete has successfully returned to full school/learning activities.

When returning to play/sport, the athlete should follow a stepwise, **medically managed exercise progression, with increasing amounts of exercise.** For example:

### Graduated Return to Sport Strategy

Exercise step	Functional exercise at each step	Goal of each step
1. Symptom-limited activity	Daily activities that do not provoke symptoms.	Gradual reintroduction of work/school activities.
2. Light aerobic exercise	Walking or stationary cycling at slow to medium pace. No resistance training.	Increase heart rate.
3. Sport-specific exercise	Running or skating drills. No head impact activities.	Add movement.
4. Non-contact training drills	Harder training drills, e.g., passing drills. May start progressive resistance training.	Exercise, coordination, and increased thinking.
5. Full contact practice	Following medical clearance, participate in normal training activities.	Restore confidence and assess functional skills by coaching staff.
6. Return to play/sport	Normal game play.	

In this example, it would be typical to have 24 hours (or longer) for each step of the progression. If any symptoms worsen while exercising, the athlete should go back to the previous step. Resistance training should be added only in the later stages (Stage 3 or 4 at the earliest).

**Written clearance should be provided by a healthcare professional before return to play/sport as directed by local laws and regulations.**

### Graduated Return to School Strategy

Concussion may affect the ability to learn at school. The athlete may need to miss a few days of school after a concussion. When going back to school, some athletes may need to go back gradually and may need to have some changes made to their schedule so that concussion symptoms do not get worse. If a particular activity makes symptoms worse, then the athlete should stop that activity and rest until symptoms get better. To make sure that the athlete can get back to school without problems, it is important that the healthcare provider, parents, caregivers and teachers talk to each other so that everyone knows what the plan is for the athlete to go back to school.

**Note: If mental activity does not cause any symptoms, the athlete may be able to skip step 2 and return to school part-time before doing school activities at home first.**

Mental Activity	Activity at each step	Goal of each step
1. Daily activities that do not give the athlete symptoms	Typical activities that the athlete does during the day as long as they do not increase symptoms (e.g. reading, texting, screen time). Start with 5-15 minutes at a time and gradually build up.	Gradual return to typical activities.
2. School activities	Homework, reading or other cognitive activities outside of the classroom.	Increase tolerance to cognitive work.
3. Return to school part-time	Gradual introduction of schoolwork. May need to start with a partial school day or with increased breaks during the day.	Increase academic activities.
4. Return to school full-time	Gradually progress school activities until a full day can be tolerated.	Return to full academic activities and catch up on missed work.

If the athlete continues to have symptoms with mental activity, some other accommodations that can help with return to school may include:

- Starting school later, only going for half days, or going only to certain classes
- Taking lots of breaks during class, homework, tests
- More time to finish assignments/tests
- No more than one exam/day
- Quiet room to finish assignments/tests
- Shorter assignments
- Not going to noisy areas like the cafeteria, assembly halls, sporting events, music class, shop class, etc.
- Repetition/memory cues
- Use of a student helper/tutor
- Reassurance from teachers that the child will be supported while getting better

**The athlete should not go back to sports until they are back to school/learning, without symptoms getting significantly worse and no longer needing any changes to their schedule.**

## ANNEX 3

### UIPM MD REPORT ON ATHLETE INJURIES IN COMPETITION

**Competition:**

Venue:

Date:

**Athlete Name:**

Nationality:

**Gender:**

Date of Birth:

<b>Discipline:</b>	Fencing	Swimming	Riding	Combined
<b>Injury Type</b>				
Muscle Strain/Contracture				
Articular Sprain				
Abrasion/Blisters				
Laceration (Cut)				
Contusion				
Concussion				
Headache				
Dizziness/Nausea				
Lipothymy				
Convulsion				
Collapse				
Weather related				
Other:				

<b>Injury Location</b>				
Face (eye/nose/mouth)				
Head/Neck				
Shoulder				
Arm/Elbow				
Wrist/Hand/Fingers				
Thorax/Abdomen				
Hip				
Leg				
Knee				
Ankle				
Foot/Toes				
Other:				

<b>Type of Care</b>				
Clean/Bandage/Medication				
Imobilisation/Stretcher				
Removal to Hospital				

UIPM Medical Delegate:







CHAPTER 2

# UIPM ANTI-DOPING RULES

2021 EDITION



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## Appendix 1 Definitions

**Appendix 2** Examples Of The Application Of Article 10 Can Be Found On The Uipm Website [www. Uipmworld.org](http://www.Uipmworld.org)

## Appendix 3 Consent Form



## UIPM ANTI-DOPING RULES

### INTRODUCTION

#### Preface

These Anti-Doping Rules are adopted and implemented in accordance with UIPM's responsibilities under the *Code*, and in furtherance of UIPM's continuing efforts to eradicate doping in sport.

These Anti-Doping Rules are sport rules governing the conditions under which sport is played. Aimed at enforcing anti-doping principles in a global and harmonized manner, they are distinct in nature from criminal and civil laws, and are not intended to be subject to or limited by any national requirements and legal standards applicable to criminal or civil proceedings. When reviewing the facts and the law of a given case, all courts, arbitral tribunals and other adjudicating bodies should be aware of and respect the distinct nature of these Anti-Doping Rules implementing the *Code* and the fact that these rules represent the consensus of a broad spectrum of stakeholders around the world as to what is necessary to protect and ensure fair sport.

#### Fundamental Rationale for the *Code* and UIPM's Anti-Doping Rules

Anti-doping programs seek to preserve what is intrinsically valuable about sport. This intrinsic value is often referred to as "the spirit of sport". It is the essence of Olympism, the pursuit of human excellence through the dedicated perfection of each person's natural talents. It is how we play true. The spirit of sport is the celebration of the human spirit, body and mind, and is reflected in values we find in and through sport, including:

- Ethics, fair play and honesty
- Health
- Excellence in performance
- Character and education
- Fun and joy
- Teamwork
- Dedication and commitment
- Respect for rules and laws
- Respect for self and other *Participants*
- Courage
- Community and solidarity
- Doping is fundamentally contrary to the spirit of sport.

#### Scope of these Anti-Doping Rules

These Anti-Doping Rules shall apply to UIPM and to each of its *National Federations*, their members and each participant in the activity of UIPM or any of its *National Federations* by virtue of the participant's membership, accreditation or participation in UIPM or its *National Federations* activities or *Competitions*.



Within the overall pool of *Athletes* set out above who are bound by and required to comply with these Anti-Doping Rules, the *Athletes*, who compete at UIPM competitions as specified in Article 1.7 UIPM Competition Rules, shall be considered to be *International-Level Athletes* for purposes of these Anti-Doping Rules, and therefore the specific provisions in these Anti-Doping Rules applicable to *International-Level Athletes* (as regards *Testing* but also as regards *TUEs*, whereabouts information, results management, and appeals) shall apply to such *Athletes*.

## 1

## DEFINITION OF DOPING

Doping is defined as the occurrence of one or more of the anti-doping rule violations set forth in Article 2.1 through Article 2.10 of these Anti-Doping Rules.

## 2

## ANTI-DOPING RULE VIOLATIONS

The purpose of Article 2 is to specify the circumstances and conduct which constitute anti-doping rule violations. Hearings in doping cases will proceed based on the assertion that one or more of these specific rules have been violated.

*Athletes* or other *Persons* shall be responsible for knowing what constitutes an anti-doping rule violation and the substances and methods which have been included on the *Prohibited List*.

The following constitute anti-doping rule violations:

### 2.1 Presence of a *Prohibited Substance* or its *Metabolites* or *Markers* in an *Athlete's Sample*

- 2.1.1 It is each *Athlete's* personal duty to ensure that no *Prohibited Substance* enters his or her body. *Athletes* are responsible for any *Prohibited Substance* or its *Metabolites* or *Markers* found to be present in their *Samples*. Accordingly, it is not necessary that intent, *Fault*, negligence or knowing *Use* on the *Athlete's* part be demonstrated in order to establish an anti-doping rule violation under Article 2.1.
- 2.1.2 Sufficient proof of an anti-doping rule violation under Article 2.1 is established by any of the following: presence of a *Prohibited Substance* or its *Metabolites* or *Markers* in the *Athlete's A Sample* where the *Athlete* waives analysis of the *B Sample* and the *B Sample* is not analysed; or, where the *Athlete's B Sample* is analysed and the analysis of the *Athlete's B Sample* confirms the presence of the *Prohibited Substance* or its *Metabolites* or *Markers* found in the *Athlete's A Sample*; or, where the *Athlete's B Sample* is split into two bottles and the analysis of the second bottle confirms the presence of the *Prohibited Substance* or its *Metabolites* or *Markers* found in the first bottle.
- 2.1.3 Excepting those substances for which a quantitative threshold is specifically identified in the *Prohibited List*, the presence of any quantity of a *Prohibited Substance* or its *Metabolites* or *Markers* in an *Athlete's Sample* shall constitute an anti-doping rule violation.
- 2.1.4 As an exception to the general rule of Article 2.1, the *Prohibited List* or *International Standards* may establish special criteria for the evaluation of *Prohibited Substances* that can also be produced endogenously.

## **2.2 Use or Attempted Use by an Athlete of a Prohibited Substance or a Prohibited Method**

- 2.2.1** It is each *Athlete's* personal duty to ensure that no *Prohibited Substance* enters his or her body and that no *Prohibited Method* is *Used*. Accordingly, it is not necessary that intent, *Fault*, negligence or knowing *Use* on the *Athlete's* part be demonstrated in order to establish an anti-doping rule violation for *Use* of a *Prohibited Substance* or a *Prohibited Method*.
- 2.2.2** The success or failure of the *Use* or *Attempted Use* of a *Prohibited Substance* or *Prohibited Method* is not material. It is sufficient that the *Prohibited Substance* or *Prohibited Method* was *Used* or *Attempted* to be *Used* for an anti-doping rule violation to be committed.

## **2.3 Evading, Refusing or Failing to Submit to Sample Collection**

Evading *Sample* collection, or without compelling justification refusing or failing to submit to *Sample* collection after notification as authorized in these Anti-Doping Rules or other applicable anti-doping rules.

## **2.4 Whereabouts Failures**

Any combination of three missed tests and/or filing failures, as defined in the International Standard for Testing and Investigations, within a twelve-month period by an *Athlete* in a *Registered Testing Pool*.

## **2.5 Tampering or Attempted Tampering with any part of Doping Control**

Conduct which subverts the *Doping Control* process but which would not otherwise be included in the definition of *Prohibited Methods*. *Tampering* shall include, without limitation, intentionally interfering or attempting to interfere with a *Doping Control* official, providing fraudulent information to an *Anti-Doping organisation*, or intimidating or attempting to intimidate a potential witness.

## **2.6 Possession of a Prohibited Substance or a Prohibited Method**

- 2.6.1** *Possession* by an *Athlete In-Competition* of any *Prohibited Substance* or any *Prohibited Method*, or *Possession* by an *Athlete Out-of-Competition* of any *Prohibited Substance* or any *Prohibited Method* which is prohibited *Out-of-Competition* unless the *Athlete* establishes that the *Possession* is consistent with a Therapeutic Use Exemption ("TUE") granted in accordance with Article 4.4 or other acceptable justification.
- 2.6.2** *Possession* by an *Athlete Support Person In-Competition* of any *Prohibited Substance* or any *Prohibited Method*, or *Possession* by an *Athlete Support Person Out-of-Competition* of any *Prohibited Substance* or any *Prohibited Method* which is prohibited *Out-of-Competition* in connection with an *Athlete*, *Competition* or training, unless the *Athlete Support Person* establishes that the *Possession* is consistent with a TUE granted to an *Athlete* in accordance with Article 4.4 or other acceptable justification.



**2.7      *Trafficking or Attempted Trafficking in any Prohibited Substance or Prohibited Method***

**2.8      *Administration or Attempted Administration to any Athlete In-Competition of any Prohibited Substance or Prohibited Method, or Administration or Attempted Administration to any Athlete Out-of-Competition of any Prohibited Substance or any Prohibited Method that is prohibited Out-of-Competition***

**2.9      *Complicity***

Assisting, encouraging, aiding, abetting, conspiring, covering up or any other type of intentional complicity involving an anti-doping rule violation, *Attempted* anti-doping rule violation or violation of Article 10.12.1 by another *Person*.

**2.10     *Prohibited Association***

Association by an *Athlete* or other *Person* subject to the authority of an *Anti-Doping Organisation* in a professional or sport-related capacity with any *Athlete Support Person* who:

**2.10.1**     If subject to the authority of an *Anti-Doping Organisation*, is serving a period of *Ineligibility*; or

**2.10.2**     If not subject to the authority of an *Anti-Doping Organisation* and where *Ineligibility* has not been addressed in a results management process pursuant to the *Code*, has been convicted or found in a criminal, disciplinary or professional proceeding to have engaged in conduct which would have constituted a violation of anti-doping rules if *Code*-compliant rules had been applicable to such *Person*. The disqualifying status of such *Person* shall be in force for the longer of six years from the criminal, professional or disciplinary decision or the duration of the criminal, disciplinary or professional sanction imposed; or **2.10.3** Is serving as a front or intermediary for an individual described in Article 2.10.1 or 2.10.2.

In order for this provision to apply, it is necessary that the *Athlete* or other *Person* has previously been advised in writing by an *Anti-Doping Organisation* with jurisdiction over the *Athlete* or other *Person*, or by WADA, of the *Athlete Support Person's* disqualifying status and the potential *Consequence* of prohibited association and that the *Athlete* or other *Person* can reasonably avoid the association. The *Anti-Doping Organisation* shall also use reasonable efforts to advise the *Athlete Support Person* who is the subject of the notice to the *Athlete* or other *Person* that the *Athlete Support Person* may, within 15 days, come forward to the *Anti-Doping Organisation* to explain that the criteria described in Articles 2.10.1 and 2.10.2 do not apply to him or her. (Notwithstanding Article 17, this Article applies even when the *Athlete Support Person's* disqualifying conduct occurred prior to the effective date provided in Article 20.6.)

The burden shall be on the *Athlete* or other *Person* to establish that any association with *Athlete Support Personnel* described in Article 2.10.1 or 2.10.2 is not in a professional or sport-related capacity.

UIPM and other *Anti-Doping Organisations* applying these Rules that are aware of *Athlete Support Personnel* who meet the criteria described in Article 2.10.1, 2.10.2, or 2.10.3 shall submit that information to WADA.

## 3

## PROOF OF DOPING

### 3.1 Burdens and Standards of Proof

UIPM or any other *Anti-Doping Organisation* bound to apply these Rules shall have the burden of establishing that an anti-doping rule violation has occurred. The standard of proof shall be whether UIPM or any other *Anti-Doping Organisation* bound to apply these Rules has established an anti-doping rule violation to the comfortable satisfaction of the hearing panel bearing in mind the seriousness of the allegation which is made. This standard of proof in all cases is greater than a mere balance of probability but less than proof beyond a reasonable doubt. Where these Anti-Doping Rules place the burden of proof upon the *Athlete* or other *Person* alleged to have committed an anti-doping rule violation to rebut a presumption or establish specified facts or circumstances, the standard of proof shall be by a balance of probability.

### 3.2 Methods of Establishing Facts and Presumptions

Facts related to anti-doping rule violations may be established by any reliable means, including admissions. The following rules of proof shall be applicable in doping cases:

**3.2.1** Analytical methods or decision limits approved by WADA after consultation within the relevant scientific community and which have been the subject of peer review are presumed to be scientifically valid. Any *Athlete* or other *Person* seeking to rebut this presumption of scientific validity shall, as a condition precedent to any such challenge, first notify WADA of the challenge and the basis of the challenge. CAS on its own initiative may also inform WADA of any such challenge. At WADA's request, the CAS panel shall appoint an appropriate scientific expert to assist the panel in its evaluation of the challenge. Within 10 days of WADA's receipt of such notice, and WADA's receipt of the CAS file, WADA shall also have the right to intervene as a party, appear amicus curiae, or otherwise provide evidence in such proceeding.

**3.2.2** WADA-accredited laboratories, and other laboratories approved by WADA, are presumed to have conducted *Sample* analysis and custodial procedures in accordance with the International Standard for Laboratories. The *Athlete* or other *Person* may rebut this presumption by establishing that a departure from the International Standard for Laboratories occurred which could reasonably have caused the *Adverse Analytical Finding*. If the *Athlete* or other *Person* rebuts the preceding presumption by showing that a departure from the International Standard for Laboratories occurred which could reasonably have caused the *Adverse Analytical Finding*, then UIPM or other *Anti-Doping Organisation* bound to apply these Rules shall have the burden to establish that such departure did not cause the *Adverse Analytical Finding*.

**3.2.3** Departures from any other *International Standard* or other anti-doping rule or policy set forth in the *Code* or these Anti-Dop-

ing Rules which did not cause an *Adverse Analytical Finding* or other anti-doping rule violation shall not invalidate such evidence or results. If the *Athlete* or other *Person* establishes a departure from another *International Standard* or other anti-doping rule or policy which could reasonably have caused an anti-doping rule violation based on an *Adverse Analytical Finding* or other anti-doping rule violation, then UIPM or other *Anti-Doping Organisation bound to apply these Rules* shall have the burden to establish that such departure did not cause the *Adverse Analytical Finding* or the factual basis for the anti-doping rule violation.

- 3.2.4** The facts established by a decision of a court or professional disciplinary tribunal of competent jurisdiction which is not the subject of a pending appeal shall be irrebuttable evidence against the *Athlete* or other *Person* to whom the decision pertained of those facts unless the *Athlete* or other *Person* establishes that the decision violated principles of natural justice.
- 3.2.5** The hearing panel in a hearing on an anti-doping rule violation may draw an inference adverse to the *Athlete* or other *Person* who is asserted to have committed an anti-doping rule violation based on the *Athlete's* or other *Person's* refusal, after a request made in a reasonable time in advance of the hearing, to appear at the hearing (either in person or telephonically as directed by the hearing panel) and to answer questions from the hearing panel or UIPM or other Anti-Doping Organisation bound to apply these Rules.

## 4

## THE PROHIBITED LIST

### 4.1 Incorporation of the *Prohibited List*

These Anti-Doping Rules incorporate the *Prohibited List*, which is published and revised by WADA as described in Article 4.1 of the *Code*.

### 4.2 *Prohibited Substances and Prohibited Methods Identified on the Prohibited List*

#### 4.2.1 *Prohibited Substances and Prohibited Methods*

Unless provided otherwise in the *Prohibited List* and/or a revision, the *Prohibited List* and revisions shall go into effect under these Anti-Doping Rules three months after publication by WADA, without requiring any further action by UIPM or its *National Federations*. All *Athletes* and other *Persons* shall be bound by the *Prohibited List*, and any revisions thereto, from the date they go into effect, without further formality. It is the responsibility of all *Athletes* and other *Persons* to familiarize themselves with the most up-to-date version of the *Prohibited List* and all revisions thereto.

#### 4.2.2 *Specified Substances*

For purposes of the application of Article 10, all *Prohibited Substances* shall be *Specified Substances* except substances in the



classes of anabolic agents and hormones and those stimulants and hormone antagonists and modulators so identified on the *Prohibited List*. The category of *Specified Substances* shall not include *Prohibited Methods*.

### 4.3 WADA's Determination of the *Prohibited List*

WADA's determination of the *Prohibited Substances* and *Prohibited Methods* that will be included on the *Prohibited List*, the classification of substances into categories on the *Prohibited List*, and the classification of a substance as prohibited at all times or *In-Competition* only, is final and shall not be subject to challenge by an *Athlete* or other *Person* based on an argument that the substance or method was not a masking agent or did not have the potential to enhance performance, represent a health risk or violate the spirit of sport.

### 4.4 Therapeutic Use Exemptions

**4.4.1** The presence of a *Prohibited Substance* or its *Metabolites* or *Markers*, and/or the *Use* or *Attempted Use*, *Possession* or *Administration* or *Attempted Administration* of a *Prohibited Substance* or *Prohibited Method*, shall not be considered an anti-doping rule violation if it is consistent with the provisions of a *TUE* granted in accordance with the International Standard for Therapeutic Use Exemptions.

**4.4.2** If an *International-Level Athlete* is using a *Prohibited Substance* or a *Prohibited Method* for therapeutic reasons:

**4.4.2.1** Where the *Athlete* already has a *TUE* granted by his or her *National Anti-Doping Organisation* for the substance or method in question, that *TUE* is not automatically valid for international-level *Competition*. However, the *Athlete* may apply to UIPM to recognize that *TUE*, in accordance with Article 7 of the International Standard for Therapeutic Use Exemptions. If that *TUE* meets the criteria set out in the International Standard for Therapeutic Use Exemptions, then UIPM will recognize it for purposes of international-level *Competition* as well. If UIPM considers that the *TUE* does not meet those criteria and so refuses to recognize it, UIPM will notify the *Athlete* and his or her *National Anti-Doping Organisation* promptly, with reasons. The *Athlete* and the *National Anti-Doping Organisation* will have 21 days from such notification to refer the matter to WADA for review in accordance with Article 4.4.6. If the matter is referred to WADA for review, the *TUE* granted by the *National Anti-Doping Organisation* remains valid for national-level *Competition* and *Out-of-Competition Testing* (but is not valid for international-level *Competition*) pending WADA's decision. If the matter is not referred to WADA for review, the *TUE* becomes invalid for any purpose when the 21-day review deadline expires.

**4.4.2.2** If the *Athlete* does not already have a *TUE* granted by his/her *National Anti-Doping Organisation* for the substance or method in question, the *Athlete* must apply directly to UIPM for a *TUE* in accordance with the process set out in the International Standard for Therapeutic Use Exemptions using the form posted on UIPM's website at pentathlon.org. If UIPM denies the *Athlete's* application, it will notify the *Athlete* promptly, with reasons. If UIPM grants the *Athlete's* application, it will notify not only the *Athlete* but also his/her *National Anti-Doping Organisation*. If the *National Anti-Doping Organisation* considers that the *TUE* granted by UIPM does not meet the criteria set out in the International Standard for Therapeutic Use Exemptions, it has 21 days from such notification to refer the matter to WADA for review in accordance with Article 4.4.6. If the *National Anti-Doping Organisation* refers the matter to WADA for review, the *TUE* granted by UIPM remains valid for international-level *Competition* and *Out-of-Competition Testing* (but is not valid for national-level *Competition*) pending WADA's decision. If the *National Anti-Doping Organisation* does not refer the matter to WADA for review, the *TUE* granted by UIPM becomes valid for national-level *Competition* as well when the 21-day review deadline expires.

**4.4.3** If UIPM chooses to test an *Athlete* who is not an *International-Level Athlete*, UIPM will recognize a *TUE* granted to that *Athlete* by his or her *National Anti-Doping Organisation*. If UIPM chooses to test an *Athlete* who is not an *International-Level* or a *National-Level Athlete*, UIPM will permit that *Athlete* to apply for a retroactive *TUE* for any *Prohibited Substance* or *Prohibited Method* that he/she is using for therapeutic reasons.

**4.4.4** An application to UIPM for grant or recognition of a *TUE* must be made as soon as the need arises and in any event (save in emergency or exceptional situations or where Article 4.3 of the International Standard for Therapeutic Use Exemptions applies) at least 30 days before the *Athlete's* next *Competition*. UIPM has appointed a panel to consider applications for the grant or recognition of *TUEs* (the "**UIPM TUE Committee**"). The UIPM TUE Committee will promptly evaluate and decide upon the application in accordance with the relevant provisions of the International Standard for Therapeutic Use Exemptions and the specific UIPM's protocols posted on its website. Its decision is the final decision of UIPM, and will be reported to WADA and other relevant *Anti-Doping Organisations*, including the *Athlete's* *National Anti-Doping Organisation*, through ADAMS, in accordance with the International Standard for Therapeutic Use Exemptions.

**4.4.5 Expiration, Cancellation, Withdrawal or Reversal of a TUE**

**4.4.5.1** A *TUE* granted pursuant to these Anti-Doping Rules:  
(a) shall expire automatically at the end of any term for

which it was granted, without the need for any further notice or other formality; (b) may be cancelled if the *Athlete* does not promptly comply with any requirements or conditions imposed by the TUE Committee upon grant of the TUE; (c) may be withdrawn by the TUE Committee if it is subsequently determined that the criteria for grant of a TUE are not in fact met; or (d) may be reversed on review by WADA or on appeal.

- 4.4.5.2** In such event, the *Athlete* is not subject to any *Consequences* based on his/her *Use* or *Possession* or *Administration* of the *Prohibited Substance* or *Prohibited Method* in question in accordance with the TUE prior to the effective date of expiry, cancellation, withdrawal or reversal of the TUE. The review pursuant to Article 7.2 of any subsequent *Adverse Analytical Finding* includes consideration of whether such finding is consistent with *Use* of the *Prohibited Substance* or *Prohibited Method* prior to that date, in which event no anti-doping rule violation shall be asserted.

#### 4.4.6 Reviews and Appeals of TUE Decisions

- 4.4.6.1** WADA may review any decision by UIPM not to recognize a TUE granted by the *National Anti-Doping Organisation* that is referred to WADA by the *Athlete* or the *Athlete's National Anti-Doping Organisation*. In addition, WADA may review any decision by UIPM to grant a TUE that is referred to WADA by the *Athlete's National Anti-Doping Organisation*. WADA may review any other TUE decisions at any time, whether upon request by those affected or on its own initiative. If the TUE decision being reviewed meets the criteria set out in the International Standard for Therapeutic Use Exemptions, WADA will not interfere with it. If the TUE decision does not meet those criteria, WADA will reverse it.
- 4.4.6.2** Any TUE decision by UIPM that is not reviewed by WADA, or that is reviewed by WADA but is not reversed upon review, may be appealed by the *Athlete* and/or the *Athlete's National Anti-Doping Organisation* exclusively to CAS, in accordance with Article 13.
- 4.4.6.3** A decision by WADA to reverse a TUE decision may be appealed by the *Athlete*, the *National Anti-Doping Organisation* and/or UIPM exclusively to CAS, in accordance with Article 13.
- 4.4.6.4** A failure to take action within a reasonable time on a properly submitted application for grant or recognition of a TUE or for review of a TUE decision shall be considered a denial of the application.



## 5

**TESTING AND INVESTIGATIONS****5.1 Purpose of *Testing* and Investigations**

*Testing* and investigations are only undertaken for anti-doping purposes. They must be conducted in conformity with the provisions of the International Standard for Testing and Investigations and the specific protocols of UIPM supplementing that International Standard.

**5.1.1** *Testing* is undertaken to obtain analytical evidence as to the *Athlete's* compliance (or non-compliance) with the strict *Code* prohibition on the presence/*Use* of a *Prohibited Substance* or *Prohibited Method*. Test distribution planning, *Testing*, post-*Testing* activity and all related activities conducted by UIPM shall be in conformity with the International Standard for Testing and Investigations. All provisions of the International Standard for Testing and Investigations shall apply automatically in respect of all such *Testing*.

**5.1.2** Investigations are undertaken:

**5.1.2.1** in relation to *Atypical Findings*, *Atypical Passport Findings* and *Adverse Passport Findings*, in accordance with Articles 7.4 and 7.5 respectively, gathering intelligence or evidence (including, in particular, analytical evidence) in order to determine whether an anti-doping rule violation has occurred under Article 2.1 and/or Article 2.2; and

**5.1.2.2** in relation to other indications of potential anti-doping rule violations, in accordance with Articles 7.6 and 7.7, gathering intelligence or evidence (including, in particular, non-analytical evidence) in order to determine whether an anti-doping rule violation has occurred under any of Articles 2.2 to 2.10 above.

**5.1.3** UIPM may obtain, assess and process anti-doping intelligence from all available sources, to inform the development of an effective, intelligent and proportionate test distribution plan, to plan Target Testing, and/or to form the basis of an investigation into a possible anti-doping rule violation(s).

**5.2 Authority to conduct *Testing***

**5.2.1** Subject to the jurisdictional limitations for *Event Testing* set out in Article 5.3 of the *Code*, UIPM has *In-Competition* and *Out-of-Competition Testing* authority over all of the *Athletes* specified in the Introduction to these Anti-Doping Rules (under the heading "Scope").

**5.2.2** UIPM may require any *Athlete* over whom it has *Testing* authority (including any *Athlete* serving a period of *Ineligibility*) to provide a *Sample* at any time and at any place.

**5.2.3** WADA has *In-Competition* and *Out-of-Competition Testing* authority as set out in Article 20.7.8 of the *Code*.

**5.2.4** If UIPM delegates or contracts any part of *Testing* to a *National Anti-Doping Organisation* (directly or through a *National Federation*), that *National Anti-Doping Organisation* may collect additional *Samples* or direct the laboratory to perform additional types of analysis at the *National Anti-Doping Organisation's* expense. If additional *Samples* are collected or additional types of analysis are performed, UIPM shall be notified.

### 5.3 *Event Testing*

**5.3.1** Except as provided in Article 5.3 of the *Code*, only a single organisation is responsible for initiating and directing *Testing* at *Event Venues* during an *Event Period*. At *International Events*, the collection of *Samples* is initiated and directed by UIPM (or any other international organisation which is the ruling body for the *Event*). At the request of UIPM (or any other international organisation which is the ruling body for an *Event*), any *Testing* during the *Event Period* outside of the *Event Venues* shall be coordinated with UIPM (or the relevant ruling body of the *Event*).

**5.3.2** If an *Anti-Doping Organisation* which would otherwise have *Testing* authority but is not responsible for initiating and directing *Testing* at an *Event* desires to conduct *Testing* of *Athletes* at the *Event Venues* during the *Event Period*, the *Anti-Doping Organisation* shall first confer with UIPM (or any other international Organisation which is the ruling body of the *Event*) to obtain permission to conduct and coordinate such *Testing*. If the *Anti-Doping Organisation* is not satisfied with the response from UIPM (or any other international Organisation which is the ruling body of the *Event*), the *Anti-Doping Organisation* may ask WADA for permission to conduct *Testing* and to determine how to coordinate such *Testing*, in accordance with the procedures set out in the International Standard for Testing and Investigations. WADA shall not grant approval for such *Testing* before consulting with and informing UIPM (or any other international organisation which is the ruling body for the *Event*). WADA's decision shall be final and not subject to appeal. Unless otherwise provided in the authorization to conduct *Testing*, such tests shall be considered *Out-of-Competition* tests. Results management for any such test shall be the responsibility of the *Anti-Doping Organisation* initiating the test unless provided otherwise in the rules of the ruling body of the *Event*.

**5.3.3** It is hereby understood that the allocation of the overall costs of *Doping Control* and *Event Testing* shall be part of the responsibility of the hosting National Federation and local organizing committee according to the respective competition bid issued by the UIPM for international major *Events* or by the continental confederations for continental *Events*, as the case may be.

#### 5.4 Test Distribution Planning

Consistent with the International Standard for Testing and Investigations, and in coordination with other *Anti-Doping Organisations* conducting *Testing* on the same *Athletes*, UIPM will develop and implement an effective, intelligent and proportionate test distribution plan that prioritizes appropriately between disciplines, categories of *Athletes*, types of *Testing*, types of *Samples* collected, and types of *Sample* analysis, all in compliance with the requirements of the International Standard for Testing and Investigations. UIPM will provide WADA upon request with a copy of its current test distribution plan.

UIPM shall ensure that the test distribution planning and the process of selection of *Athletes* for *Testing* are not affected by conflict of interest. Any *Athlete Supporting Personnel* and/or any other *Person* who may be in conflict of interest shall be excluding participating in any manner in test distribution planning or from selecting *Athletes* for *Testing*

#### 5.5 Coordination of Testing

Where reasonably feasible, *Testing* will be coordinated through ADAMS or another system approved by WADA in order to maximize the effectiveness of the combined *Testing* effort and to avoid unnecessary repetitive *Testing*.

#### 5.6 Athlete Whereabouts Information

**5.6.1** UIPM shall identify a *Registered Testing Pool* of those *Athletes* who are required to comply with the whereabouts requirements of Annex I to the International Standard for Testing and Investigations, and will make available through ADAMS, a list which identifies those *Athletes* included in its *Registered Testing Pool* either by name or by clearly defined, specific criteria. UIPM shall coordinate with *National Anti-Doping Organisations* the identification of such *Athletes* and the collection of their whereabouts information. UIPM shall review and update as necessary its criteria for including *Athletes* in its *Registered Testing Pool*, and shall revise the membership of its *Registered Testing Pool* from time to time as appropriate in accordance with the set criteria. *Athletes* shall be notified before they are included in a *Registered Testing Pool* and when they are removed from that pool. Each *Athlete* in the *Registered Testing Pool* shall do the following, in each case in accordance with Annex I to the International Standard for Testing and Investigations: (a) advise UIPM of his/her whereabouts on a quarterly basis; (b) update that information as necessary so that it remains accurate and complete at all times; and (c) make him/herself available for *Testing* at such whereabouts.

**5.6.2** For purposes of Article 2.4, an *Athlete's* failure to comply with the requirements of the International Standard for Testing and Investigations shall be deemed a filing failure or a missed test (as defined in the International Standard for Testing and Investigations) where the conditions set forth in the International Standard for Testing and Investigations for declaring a filing failure or missed test are met.

**5.6.3** An *Athlete* in UIPM's *Registered Testing Pool* will continue to be subject to the obligation to comply with the whereabouts re-



quirements of Annex I to the International Standard for Testing and Investigations unless and until (a) the *Athlete* gives written notice to UIPM that he/she has retired or (b) UIPM has informed him or her that he/she no longer satisfies the criteria for inclusion in UIPM's *Registered Testing Pool*.

- 5.6.4** Whereabouts information relating to an *Athlete* will be shared (through *ADAMS*) with *WADA* and other *Anti-Doping Organisations* having authority to test that *Athlete*, will be maintained in strict confidence at all times, will be used exclusively for the purposes set out in Article 5.6 of the *Code*, and will be destroyed in accordance with the International Standard for the Protection of Privacy and Personal Information once it is no longer relevant for these purposes.

## **5.7 Retired Athletes Returning to Competition**

- 5.7.1** An *Athlete* in UIPM's *Registered Testing Pool* who has given notice of retirement to UIPM may not resume competing in *International Events* or *National Events* until he/she has given UIPM written notice of his/her intent to resume competing and has made him/herself available for *Testing* for a period of six months before returning to *Competition*, including (if requested) complying with the whereabouts requirements of Annex I to the International Standard for Testing and Investigations. *WADA*, in consultation with UIPM and the *Athlete's National Anti-Doping Organisation*, may grant an exemption to the six-month written notice rule where the strict application of that rule would be manifestly unfair to an *Athlete*. This decision may be appealed under Article 13. Any competitive results obtained in violation of this Article 5.7.1 shall be *Disqualified*.
- 5.7.2** If an *Athlete* retires from sport while subject to a period of *Ineligibility*, the *Athlete* shall not resume competing in *International Events* or *National Events* until the *Athlete* has given six months prior written notice (or notice equivalent to the period of *Ineligibility* remaining as of the date the *Athlete* retired, if that period was longer than six months) to UIPM and to his/her *National Anti-Doping Organisation* of his/her intent to resume competing and has made him/herself available for *Testing* for that notice period, including (if requested) complying with the whereabouts requirements of Annex I to the International Standard for Testing and Investigations.
- 5.7.3** An *Athlete* who is not in UIPM's *Registered Testing Pool* who has given notice of retirement to UIPM may not resume competing unless he/she notifies UIPM and his/her *National Anti-Doping Organisation* at least six months before he/she wishes to return to *Competition* and makes him/herself available for unannounced *Out-of-Competition Testing*, including (if requested) complying with the whereabouts requirements of Annex I to the International Standard for Testing and Investigations, during the period before actual return to *Competition*.

### 5.8 ***Independent Observer Program***

UIPM and the organizing committees for UIPM's *Events*, as well as the *National Federations* and the organizing committees for *National Events*, will authorize and facilitate the *Independent Observer Program* at such *Events*.

## 6

## **ANALYSIS OF SAMPLES**

*Samples* are analysed in accordance with the following principles:

### 6.1 **Use of Accredited and Approved Laboratories**

For purposes of Article 2.1 above, *Samples* will be analysed only in laboratories accredited or otherwise approved by WADA. The choice of the WADA-accredited or WADA-approved laboratory used for the *Sample* analysis will be determined exclusively by UIPM.

### 6.2 **Purpose of Analysis of *Samples***

**6.2.1** *Samples* will be analysed to detect *Prohibited Substances* and *Prohibited Methods* 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 UIPM in profiling relevant parameters in an *Athlete's* urine, blood or other matrix, including DNA or genomic profiling; or for any other legitimate anti-doping purpose. *Samples* may be collected and stored for future analysis.

**6.2.2** UIPM will ask laboratories to analyse *Samples* in conformity with Article 6.4 of the *Code* and Article 4.7 of the International Standard for Testing and Investigations.

### 6.3 **Research on *Samples***

No *Sample* may be used for research without the *Athlete's* written consent. *Samples* used for purposes other than Article 6.2 above shall have any means of identification removed such that they cannot be traced back to a particular *Athlete*.

### 6.4 **Standards for *Sample* Analysis and Reporting**

Laboratories shall analyse *Samples* and report results in conformity with the International Standard for Laboratories. To ensure effective *Testing*, the Technical Document referenced at Article 5.4.1 of the *Code* will establish risk assessment-based *Sample* analysis menus appropriate for particular sports and sport disciplines, and laboratories shall analyse *Samples* in conformity with those menus, except as follows:

**6.4.1** UIPM may request that laboratories analyse its *Samples* using more extensive menus than those described in the Technical Document.

**6.4.2** UIPM may request that laboratories analyse its *Samples* using less extensive menus than those described in the Technical Document only if it has satisfied WADA that, because of the particular circumstances of its sport, as set out in its test distribution plan, less extensive analysis would be appropriate.

**6.4.3** As provided in the International Standard for Laboratories, laboratories at their own initiative and expense may analyse *Samples* for *Prohibited Substances* or *Prohibited Methods* not included on the *Sample* analysis menu described in the Technical Document or specified by the *Testing* authority. Results from any such analysis shall be reported and have the same validity and consequence as any other analytical result.

## **6.5 Further Analysis of Samples**

Any *Sample* may be stored and subsequently subjected to further analysis for the purposes set out in Article 6.2 above: (a) by WADA at any time; and/or (b) by UIPM at any time before both the A and B *Sample* analytical results (or A *Sample* result where B *Sample* analysis has been waived or will not be performed) have been communicated by UIPM to the *Athlete* as the asserted basis for an Article 2.1 anti-doping rule violation. Such further analysis of *Samples* shall conform to the requirements of the International Standard for Laboratories and the International Standard for Testing and Investigations.

# 7

## **RESULTS MANAGEMENT**

### **7.1 Responsibility for Conducting Results Management**

**7.1.1** The circumstances in which UIPM takes responsibility for conducting results management in respect of anti-doping rule violations involving *Athletes* and other *Persons* under its jurisdiction is determined by reference to and in accordance with Article 7 of the *Code*.

### **7.2 Review of Adverse Analytical Findings from Tests Initiated by UIPM**

Results management in respect of the results of tests initiated by UIPM (including tests performed by WADA pursuant to agreement with UIPM) shall proceed as follows:

**7.2.1** The results from all analyses must be sent to UIPM in encoded form, in a report signed by an authorized representative of the laboratory. All communication must be conducted confidentially and in conformity with ADAMS.

**7.2.2** Upon receipt of an *Adverse Analytical Finding*, the UIPM Anti-Doping Officer conducts a review to determine whether: (a) an applicable *TUE* has been granted or will be granted as provided in the International Standard for Therapeutic Use Exemptions, or (b) there is any apparent departure from the International Standard



for Testing and Investigations or International Standard for Laboratories that caused the *Adverse Analytical Finding*.

- 7.2.3** If the review of an *Adverse Analytical Finding* under Article 7.2.2 above reveals an applicable *TUE* or departure from the International Standard for Testing and Investigations or the International Standard for Laboratories that caused the *Adverse Analytical Finding*, the entire test shall be considered negative and the *Athlete*, the *Athlete's National Anti-Doping Organisation* and WADA shall be so informed.

### **7.3 Notification after Review Regarding *Adverse Analytical Findings***

- 7.3.1** If the review of an *Adverse Analytical Finding* under Article 7.2.2 does not reveal an applicable *TUE* or entitlement to a *TUE* as provided in the International Standard for Therapeutic Use Exemptions, or departure from the International Standard for Testing and Investigations or the International Standard for Laboratories that caused the *Adverse Analytical Finding*, UIPM shall promptly notify the *Athlete*, and simultaneously the *Athlete's National Anti-Doping Organisation* and WADA, in the manner set out in Article 14.1 below, of: (a) the *Adverse Analytical Finding*; (b) the anti-doping rule violated; (c) the *Athlete's* right to promptly request the analysis of the B *Sample* or, failing such request, that the B *Sample* analysis may be deemed waived; (d) the scheduled date, time and place for the B *Sample* analysis if the *Athlete* or UIPM chooses to request an analysis of the B *Sample*; (e) the opportunity for the *Athlete* and/or the *Athlete's* representative to attend the B *Sample* opening and analysis in accordance with the International Standard for Laboratories if such analysis is requested; and (f) the *Athlete's* right to request copies of the A and B *Sample* laboratory documentation package which includes information as required by the International Standard for Laboratories. If UIPM decides not to bring forward the *Adverse Analytical Finding* as an anti-doping rule violation, it will so notify the *Athlete*, the *Athlete's National Anti-Doping Organisation* and WADA.
- 7.3.2** Where requested by the *Athlete* or UIPM, arrangements shall be made to analyse the B *Sample* in accordance with the International Standard for Laboratories. An *Athlete* may accept the A *Sample* analytical results by waiving the requirement for B *Sample* analysis. UIPM may nonetheless elect to proceed with the B *Sample* analysis.
- 7.3.3** The *Athlete* and/or his representative shall be allowed to be present at the analysis of the B *Sample*. Also, a representative of UIPM as well as a representative of the *Athlete's National Federation* shall be allowed to be present.
- 7.3.4** If the B *Sample* analysis does not confirm the A *Sample* analysis, then (unless UIPM takes the case forward as an anti-doping rule violation under Article 2.2 above) the entire test shall be considered negative and the *Athlete*, the *Athlete's National Anti-Doping Organisation* and WADA shall be so informed.

- 7.3.5** If the *B Sample* analysis confirms the *A Sample* analysis, the findings shall be reported to the *Athlete*, the *Athlete's National Anti-Doping Organisation* and to WADA.

## **7.4 Review of Atypical Findings**

- 7.4.1** As provided in the International Standard for Laboratories, in some circumstances laboratories are directed to report the presence of *Prohibited Substances*, which may also be produced endogenously, as *Atypical Findings*, i.e., as findings that are subject to further investigation.
- 7.4.2** Upon receipt of an *Atypical Finding*, the UIPM Anti-Doping Officer will conduct a review to determine whether: (a) an applicable *TUE* has been granted or will be granted as provided in the International Standard for Therapeutic Use Exemptions, or (b) there is any apparent departure from the International Standard for Testing and Investigations or International Standard for Laboratories that caused the *Atypical Finding*.
- 7.4.3** If the review of an *Atypical Finding* under Article 7.4.2 above reveals an applicable *TUE* or a departure from the International Standard for Testing and Investigations or the International Standard for Laboratories that caused the *Atypical Finding*, the entire test will be considered negative and the *Athlete*, the *Athlete's National Anti-Doping Organisation* and WADA will be so informed.
- 7.4.4** If that review does not reveal an applicable *TUE* or a departure from the International Standard for Testing and Investigations or the International Standard for Laboratories that caused the *Atypical Finding*, UIPM will conduct the required investigation or cause it to be conducted. After the investigation is completed, either the *Atypical Finding* will be brought forward as an *Adverse Analytical Finding*, in accordance with Article 7.3.1 above, or else the *Athlete*, the *Athlete's National Anti-Doping Organisation* and WADA will be notified that the *Atypical Finding* will not be brought forward as an *Adverse Analytical Finding*.
- 7.4.5** UIPM will not provide notice of an *Atypical Finding* until it has completed its investigation and has decided whether it will bring the *Atypical Finding* forward as an *Adverse Analytical Finding* unless one of the following circumstances exists:
- 7.4.5.1** If UIPM determines the *B Sample* should be analysed prior to the conclusion of its investigation, it may conduct the *B Sample* analysis after notifying the *Athlete*, with such notice to include a description of the *Atypical Finding* and the information described in Article 7.3.1(d)-(f) above.
- 7.4.5.2** If UIPM is asked (a) by a *Major Event organisation* shortly before one of its *International Events*, or (b) by a sport organisation responsible for meeting an imminent deadline for selecting team members for an *Inter-*

*national Event*, to disclose whether any *Athlete* identified on a list provided by the *Major Event organisation* or sport organisation has a pending *Atypical Finding*, UIPM will so advise the *Major Event organisation* or sports organisation after first providing notice of the *Atypical Finding* to the *Athlete*.

## **7.5 Review of Atypical Passport Findings and Adverse Passport Findings**

Review of *Atypical Passport Findings* and *Adverse Passport Findings* will take place as provided in the International Standard for Testing and Investigations and International Standard for Laboratories. At such time as UIPM is satisfied that an anti-doping rule violation has occurred, it shall promptly give the *Athlete* (and simultaneously the *Athlete's National Anti-Doping Organisation* and WADA) notice of the anti-doping rule violation asserted and the basis of that assertion.

## **7.6 Review of Whereabouts Failures**

UIPM will review potential filing failures and missed tests, as defined in the International Standard for Testing and Investigations, in respect of *Athletes* who file their whereabouts information with UIPM, in accordance with Annex I to the International Standard for Testing and Investigations. At such time as UIPM is satisfied that an Article 2.4 anti-doping rule violation has occurred, it will promptly give the *Athlete* (and simultaneously the *Athlete's National Anti-Doping Organisation* and WADA) notice that it is asserting a violation of Article 2.4 and the basis of that assertion.

## **7.7 Review of Other Anti-Doping Rule Violations Not Covered by Articles 7.2–7.6 above**

UIPM will conduct any follow-up investigation required into a possible anti-doping rule violation not covered by Articles 7.2 - 7.6 above. At such time as UIPM is satisfied that an anti-doping rule violation has occurred, UIPM shall promptly give the *Athlete* or other *Person* (and simultaneously the *Athlete's* or other *Person's National Anti-Doping Organisation* and WADA) notice of the anti-doping rule violation asserted and the basis of that assertion.

## **7.8 Identification of Prior Anti-Doping Rule Violations**

Before giving an *Athlete* or other *Person* notice of an asserted anti-doping rule violation as provided above, UIPM will refer to ADAMS and contact WADA and other relevant *Anti-Doping Organisations* to determine whether any prior anti-doping rule violation exists.

## **7.9 Provisional Suspensions**

**7.9.1 Mandatory Provisional Suspension:** If analysis of an A Sample has resulted in an *Adverse Analytical Finding* for a *Prohibited Substance* that is not a *Specified Substance*, or for a *Prohibited Method*, and a review in accordance with Article 7.2.2 does not reveal an applicable TUE or departure from the International Standard for Testing and Investigations or the International Standard for Laboratories that caused the *Adverse Analytical Finding*, a *Provisional Suspension* shall be imposed by UIPM upon or promptly after the notification described in Articles 7.2, 7.3 or 7.5 above.



- 7.9.2** **Optional *Provisional Suspension*:** In case of an *Adverse Analytical Finding* for a *Specified Substance*, or in the case of any other anti-doping rule violations not covered by Article 7.9.1 above, UIPM may impose a *Provisional Suspension* on the *Athlete* or other *Person* against whom the anti-doping rule violation is asserted at any time after the review and notification described in Articles 7.2–7.7 above and prior to the final hearing as described in Article 8 below.
- 7.9.3** Where a *Provisional Suspension* is imposed pursuant to Article 7.9.1 or Article 7.9.2 above, the *Athlete* or other *Person* will be given either: (a) an opportunity for a *Provisional Hearing* either before or on a timely basis after imposition of the *Provisional Suspension*; or (b) an opportunity for an expedited final hearing in accordance with Article 8 on a timely basis after imposition of the *Provisional Suspension*. Furthermore, the *Athlete* or other *Person* has a right to appeal from the *Provisional Suspension* in accordance with Article 13.2 below (save as set out in Article 7.9.3.1 below).
- 7.9.3.1** The *Provisional Suspension* may be lifted if the *Athlete* demonstrates to the UIPM Doping Review Panel that the violation is likely to have involved a *Contaminated Product*. A panel's decision not to lift a mandatory *Provisional Suspension* on account of the *Athlete's* assertion regarding a *Contaminated Product* shall not be appealable.
- 7.9.3.2** The *Provisional Suspension* shall be imposed (or shall not be lifted) unless the *Athlete* or other *Person* establishes that: (a) the assertion of an anti-doping rule violation has no reasonable prospect of being upheld, e.g., because of a patent flaw in the case against the *Athlete* or other *Person*; or (b) the *Athlete* or other *Person* has a strong arguable case that he/she bears *No Fault or Negligence* for the anti-doping rule violation(s) asserted, so that any period of *Ineligibility* that might otherwise be imposed for such a violation is likely to be completely eliminated by application of Article 10.4 below; or (c) some other facts exist that make it clearly unfair, in all of the circumstances, to impose a *Provisional Suspension* prior to a final hearing in accordance with Article 8 below. This ground is to be construed narrowly, and applied only in truly exceptional circumstances. For example, the fact that the *Provisional Suspension* would prevent the *Athlete* or other *Person* participating in a particular *Competition* or *Event* shall not qualify as exceptional circumstances for these purposes.
- 7.9.4** If a *Provisional Suspension* is imposed based on an A Sample *Adverse Analytical Finding* and subsequent analysis of the B Sample does not confirm the A Sample analysis, then the *Athlete* shall not be subject to any further *Provisional Suspension* on account of a violation of Article 2.1 above. In circumstanc-

es where the *Athlete* (or the *Athlete's* team) has been removed from a *Competition* based on a violation of Article 2.1 above and the subsequent B *Sample* analysis does not confirm the A *Sample* finding, then if it is still possible for the *Athlete* or team to be reinserted, without otherwise affecting the *Competition*, the *Athlete* or team may continue to take part in the *Competition*. In addition, the *Athlete* or team may thereafter take part in other *Competitions* in the same *Event*.

- 7.9.5** In all cases where an *Athlete* or other *Person* has been notified of an anti-doping rule violation but a *Provisional Suspension* has not been imposed on him or her, the *Athlete* or other *Person* shall be offered the opportunity to accept a *Provisional Suspension* voluntarily pending the resolution of the matter.

## **7.10 Resolution Without a Hearing**

- 7.10.1** An *Athlete* or other *Person* against whom an anti-doping rule violation is asserted may admit that violation at any time, waive a hearing, and accept the *Consequences* that are mandated by these Anti-Doping Rules or (where some discretion as to *Consequences* exists under these Anti-Doping Rules) that have been offered by UIPM.

- 7.10.2** Alternatively, if the *Athlete* or other *Person* against whom an anti-doping rule violation is asserted fails to dispute that assertion within the deadline specified in the notice sent by UIPM asserting the violation, then he/she shall be deemed to have admitted the violation, to have waived a hearing, and to have accepted the *Consequences* that are mandated by these Anti-Doping Rules or (where some discretion as to *Consequences* exists under these Anti-Doping Rules) that have been offered by UIPM.

- 7.10.3** In cases where Article 7.10.1 or Article 7.10.2 above applies, a hearing before a hearing panel shall not be required. Instead UIPM will promptly issue a written decision confirming the commission of the anti-doping rule violation and the *Consequences* imposed as a result, and setting out the full reasons for any period of *Ineligibility* imposed, including (if applicable) a justification for why the maximum potential period of *Ineligibility* was not imposed. UIPM shall send copies of that decision to other *Anti-Doping Organisations* with a right to appeal under Article 13.2.3 below, and shall *Publicly Disclose* that decision in accordance with Article 14.3.2 below.

## **7.11 Notification of Results Management Decisions**

In all cases where UIPM has asserted the commission of an anti-doping rule violation, withdrawn the assertion of an anti-doping rule violation, imposed a *Provisional Suspension*, or agreed with an *Athlete* or other *Person* on the imposition of *Consequences* without a hearing, UIPM will give notice thereof in accordance with Article 14.2.1 below to other *Anti-Doping Organisations* with a right to appeal under Article 13.2.3 below.

### 7.12 Retirement from Sport

If an *Athlete* or other *Person* retires whilst UIPM is conducting the results management process, UIPM retains jurisdiction to complete its results management process. If an *Athlete* or other *Person* retires before any results management process has begun, and UIPM would have had results management authority over the *Athlete* or other *Person* at the time the *Athlete* or other *Person* committed an anti-doping rule violation, UIPM has authority to conduct results management in respect of that anti-doping rule violation.

## 8

## RIGHT TO A FAIR HEARING

### 8.1 Principles for a Fair Hearing

- 8.1.1** When UIPM sends a notice to an *Athlete* or other *Person* asserting an anti-doping rule violation, and the *Athlete* or other *Person* does not waive a hearing in accordance with Article 7.10.1 or Article 7.10.2 above, then the case shall be referred to the UIPM Doping Review Panel for hearing and adjudication.
- 8.1.2** Hearings shall be scheduled and completed within a reasonable time. Hearings held in connection with *Events* that are subject to these Anti-Doping Rules may be conducted by an expedited process where permitted by the hearing panel.
- 8.1.3** The UIPM Doping Review Panel will determine the procedure to be followed at the hearing.
- 8.1.4** WADA and the *National Federation* of the *Athlete* or other *Person* may attend the hearing as observers. In any event, UIPM will keep WADA fully apprised as to the status of pending cases and the result of all hearings.
- 8.1.5** The UIPM Doping Review Panel shall act in a fair and impartial manner towards all parties at all times.

### 8.2 Decisions

- 8.2.1** At the end of the hearing, or on a timely basis thereafter, the UIPM Doping Review Panel shall issue a written decision that includes the full reasons for the decision and for any period of *Ineligibility* imposed, including (if applicable) a justification for why the greatest potential *Consequences* were not imposed.
- 8.2.2** The decision may be appealed to the UIPM Court of Arbitration and thereafter to CAS as provided in Article 13 below and Article 17.3 UIPM Anti-Doping Procedures. Copies of the decision will be provided to the *Athlete* or other *Person* and to other *Anti-Doping Organisations* with a right to appeal under Article 13.2.3 below.



**8.2.3**

If no appeal is brought against the decision, then (a) if the decision is that an anti-doping rule violation was committed, the decision shall be *Publicly Disclosed* as provided in Article 14.3.2 below; but (b) if the decision is that no anti-doping rule violation was committed, then the decision will only be *Publicly Disclosed* with the consent of the *Athlete* or other *Person* who is the subject of the decision. The UIPM Secretary General will use reasonable efforts to obtain such consent, and if consent is obtained, shall *Publicly Disclose* the decision in its entirety or in such redacted form as the *Athlete* or other *Person* may approve.

The principles contained at Article 14.3.6 below will be applied in cases involving a *Minor*.

**8.3****Single Hearing Before CAS**

Cases asserting anti-doping rule violations may be heard directly at CAS, with no requirement for a prior hearing, with the consent of the *Athlete*, UIPM, WADA, and any other *Anti-Doping Organisation* that would have had a right to appeal a first instance hearing decision to CAS.

**9****AUTOMATIC DISQUALIFICATION OF INDIVIDUAL RESULTS**

An anti-doping rule violation in *Individual Sports* in connection with an *In-Competition* test automatically leads to *Disqualification* of the result obtained in that *Competition* with all resulting *Consequences*, including forfeiture of any medals, points and prizes.

**10****SANCTIONS ON INDIVIDUALS****10.1*****Disqualification of Results in the Event during which an Anti-Doping Rule Violation Occurs***

An anti-doping rule violation occurring during or in connection with an *Event* may, upon the decision of the ruling body of the *Event*, lead to *Disqualification* of all of the *Athlete's* individual results obtained in that *Event* with all *Consequences*, including forfeiture of all medals, points and prizes, except as provided in Article 10.1.1 below.

Factors to be included in considering whether to *Disqualify* other results in an *Event* might include, for example, the seriousness of the *Athlete's* anti-doping rule violation and whether the *Athlete* tested negative in the other *Competitions*.

**10.1.1**

If the *Athlete* establishes that he or she bears *No Fault or Negligence* for the violation, the *Athlete's* individual results in the other *Competitions* shall not be *Disqualified*, unless the *Athlete's* results in *Competitions* other than the *Competition* in

which the anti-doping rule violation occurred were likely to have been affected by the *Athlete's* anti-doping rule violation.

## **10.2 *Ineligibility for Presence, Use or Attempted Use, or Possession of a Prohibited Substance or Prohibited Method***

The period of *Ineligibility* for a violation of Articles 2.1, 2.2 or 2.6 above shall be as follows, subject to potential reduction or suspension pursuant to Articles 10.4, 10.5 or 10.6 below:

### **10.2.1** The period of *Ineligibility* shall be four years where:

**10.2.1.1** The anti-doping rule violation does not involve a *Specified Substance*, unless the *Athlete* or other *Person* can establish that the anti-doping rule violation was not intentional.

**10.2.1.2** The anti-doping rule violation involves a *Specified Substance* and the UIPM Doping Review Panel can establish that the anti-doping rule violation was intentional.

### **10.2.2** If Article 10.2.1 above does not apply, the period of *Ineligibility* shall be two years.

### **10.2.3** As used in Articles 10.2 and 10.3, the term "intentional" is meant to identify those *Athletes* who cheat. The term therefore requires that the *Athlete* or other *Person* engaged in conduct which he or she knew constituted an anti-doping rule violation or knew that there was a significant risk that the conduct might constitute or result in an anti-doping rule violation and manifestly disregarded that risk. An anti-doping rule violation resulting from an *Adverse Analytical Finding* for a substance which is only prohibited *In-Competition* shall be rebuttably presumed to be not intentional if the substance is a *Specified Substance* and the *Athlete* can establish that the *Prohibited Substance* was *Used Out-of-Competition*. An anti-doping rule violation resulting from an *Adverse Analytical Finding* for a substance which is only prohibited *In-Competition* shall not be considered intentional if the substance is not a *Specified Substance* and the *Athlete* can establish that the *Prohibited Substance* was *Used Out-of-Competition* in a context unrelated to sport performance.

## **10.3 *Ineligibility for Other Anti-Doping Rule Violations***

The period of *Ineligibility* for anti-doping rule violations other than as provided in Article 10.2 above shall be as follows, unless Articles 10.5 or 10.6 below are applicable:

### **10.3.1** For violations of Article 2.3 or Article 2.5 above, the period of *Ineligibility* shall be four years unless, in the case of failing to submit to *Sample* collection, the *Athlete* can establish that the commission of the anti-doping rule violation was not intentional (as defined in Article 10.2.3 above), in which case the period of *Ineligibility* shall be two years.

- 10.3.2** For violations of Article 2.4 above, the period of *Ineligibility* shall be two years, subject to reduction down to a minimum of one year, depending on the *Athlete's* degree of *Fault*. The flexibility between two years and one year of *Ineligibility* in this Article is not available to *Athletes* where a pattern of last-minute whereabouts changes or other conduct raises a serious suspicion that the *Athlete* was trying to avoid being available for *Testing*.
- 10.3.3** For violations of Article 2.7 or 2.8 above, the period of *Ineligibility* shall be a minimum of four years up to lifetime *Ineligibility*, depending on the seriousness of the violation. An Article 2.7 or Article 2.8 violation involving a *Minor* shall be considered a particularly serious violation and, if committed by *Athlete Support Personnel* for violations other than for *Specified Substances*, shall result in lifetime *Ineligibility* for *Athlete Support Personnel*. In addition, significant violations of Article 2.7 or 2.8 above which may also violate non-sporting laws and regulations, shall be reported by UIPM to the competent administrative, professional or judicial authorities.
- 10.3.4** For violations of Article 2.9 above, the period of *Ineligibility* imposed shall be a minimum of two years, up to four years, depending on the seriousness of the violation.
- 10.3.5** For violations of Article 2.10 above, the period of *Ineligibility* shall be two years, subject to reduction down to a minimum of one year, depending on the *Athlete* or other *Person's* degree of *Fault* and other circumstances of the case.

**10.4 Elimination of the Period of *Ineligibility* where there is *No Fault or Negligence***

If an *Athlete* or other *Person* establishes in an individual case that he or she bears *No Fault or Negligence*, then the otherwise applicable period of *Ineligibility* shall be eliminated.

**10.5 Reduction of the Period of *Ineligibility* based on *No Significant Fault or Negligence***

- 10.5.1** Reduction of Sanctions for *Specified Substances* or *Contaminated Products* for Violations of Article 2.1, 2.2 or 2.6 above.

**10.5.1.1 *Specified Substances***

Where the anti-doping rule violation involves a *Specified Substance*, and the *Athlete* or other *Person* can establish *No Significant Fault or Negligence*, then the period of *Ineligibility* shall be, at a minimum, a reprimand and no period of *Ineligibility*, and at a maximum, two years of *Ineligibility*, depending on the *Athlete's* or other *Person's* degree of *Fault*.

**10.5.1.2 *Contaminated Products***

In cases where the *Athlete* or other *Person* can establish *No Significant Fault or Negligence* and that the



detected *Prohibited Substance* came from a *Contaminated Product*, then the period of *Ineligibility* shall be, at a minimum, a reprimand and no period of *Ineligibility*, and at a maximum, two years *Ineligibility*, depending on the *Athlete's* or other *Person's* degree of *Fault*.

**10.5.2** Application of *No Significant Fault or Negligence* beyond the Application of Article 10.5.1 above

If an *Athlete* or other *Person* establishes in an individual case where Article 10.5.1 above is not applicable that he or she bears *No Significant Fault or Negligence*, then, subject to further reduction or elimination as provided in Article 10.6 below, the otherwise applicable period of *Ineligibility* may be reduced based on the *Athlete* or other *Person's* degree of *Fault*, but the reduced period of *Ineligibility* may not be less than one-half of the period of *Ineligibility* otherwise applicable. If the otherwise applicable period of *Ineligibility* is a lifetime, the reduced period under this Article may be no less than eight years.

**10.6** **Elimination, Reduction, or Suspension of Period of *Ineligibility* or other Consequences for Reasons Other than *Fault***

**10.6.1** *Substantial Assistance* in Discovering or Establishing Anti-Doping Rule Violations

**10.6.1.1** The UIPM Doping Review Panel may, prior to a final appellate decision under Article 13 below or the expiration of the time to appeal, suspend a part of the period of *Ineligibility* imposed in an individual case in which UIPM has results management authority where the *Athlete* or other *Person* has provided *Substantial Assistance* to an *Anti-Doping Organisation*, criminal authority or professional disciplinary body which results in: (i) the *Anti-Doping Organisation* discovering or bringing forward an anti-doping rule violation by another *Person*, or (ii) which results in a criminal or disciplinary body discovering or bringing forward a criminal offense or the breach of professional rules committed by another *Person* and the information provided by the *Person* providing *Substantial Assistance* is made available to UIPM. After a final appellate decision under Article 13 below or the expiration of time to appeal, the UIPM Doping Review Panel may only suspend a part of the otherwise applicable period of *Ineligibility* with the approval of WADA. The extent to which the otherwise applicable period of *Ineligibility* may be suspended shall be based on the seriousness of the anti-doping rule violation committed by the *Athlete* or other *Person* and the significance of the *Substantial Assistance* provided by the *Athlete* or other *Person* to the effort to eliminate doping in sport. No more than three-quarters of the otherwise

applicable period of *Ineligibility* may be suspended. If the otherwise applicable period of *Ineligibility* is a lifetime, the non-suspended period under this Article must be no less than eight years. If the *Athlete* or other *Person* fails to continue to cooperate and to provide the complete and credible *Substantial Assistance* upon which a suspension of the period of *Ineligibility* was based, the UIPM Doping Review Panel shall reinstate the original period of *Ineligibility*. If the UIPM Doping Review Panel decides to reinstate a suspended period of *Ineligibility* or decides not to reinstate a suspended period of *Ineligibility*, that decision may be appealed by any *Person* entitled to appeal under Article 13 below.

**10.6.1.2** To further encourage *Athletes* and other *Persons* to provide *Substantial Assistance* to *Anti-Doping Organisations*, at the request of the chairperson of the UIPM Doping Review Panel or at the request of the *Athlete* or other *Person* who has (or has been asserted to have) committed an anti-doping rule violation, WADA may agree at any stage of the results management process, including after a final appellate decision under Article 13 below, to what it considers to be an appropriate suspension of the otherwise-applicable period of *Ineligibility* and other *Consequences*. In exceptional circumstances, WADA may agree to suspensions of the period of *Ineligibility* and other *Consequences* for *Substantial Assistance* greater than those otherwise provided in this Article, or even no period of *Ineligibility*, and/or no return of prize money or payment of fines or costs. WADA's approval shall be subject to reinstatement of sanction, as otherwise provided in this Article. Notwithstanding Article 13 below, WADA's decisions in the context of this Article may not be appealed by any other *Anti-Doping Organisation*.

**10.6.1.3** If the UIPM Doping Review Panel suspends any part of an otherwise applicable sanction because of *Substantial Assistance*, then notice providing justification for the decision shall be provided to the other *Anti-Doping Organisations* with a right to appeal under Article 13.2.3 below as provided in Article 14.2 below. In unique circumstances where WADA determines that it would be in the best interest of anti-doping, WADA may authorize UIPM to enter into appropriate confidentiality agreements limiting or delaying the disclosure of the *Substantial Assistance* agreement or the nature of *Substantial Assistance* being provided.

## **10.6.2 Admission of an Anti-Doping Rule Violation in the Absence of Other Evidence**

Where an *Athlete* or other *Person* voluntarily admits the commission of an anti-doping rule violation before having received notice of a *Sample* collection which could establish an an-

ti-doping rule violation (or, in the case of an anti-doping rule violation other than Article 2.1 above, before receiving first notice of the admitted violation pursuant to Article 7 above) and that admission is the only reliable evidence of the violation at the time of admission, then the period of *Ineligibility* may be reduced, but not below one-half of the period of *Ineligibility* otherwise applicable.

**10.6.3 *Prompt Admission of an Anti-Doping Rule Violation after being confronted with a Violation Sanctionable under Article 10.2.1 or Article 10.3.1 above***

An *Athlete* or other *Person* potentially subject to a four-year sanction under Article 10.2.1 or 10.3.1 above (for evading or refusing *Sample Collection* or *Tampering with Sample Collection*), by promptly admitting the asserted anti-doping rule violation after being confronted by the chairperson of the UIPM Doping Review Panel and so informed by UIPM, and also upon the approval and at the discretion of both WADA and UIPM, may receive a reduction in the period of *Ineligibility* down to a minimum of two years, depending on the seriousness of the violation and the *Athlete* or other *Person's* degree of *Fault*.

**10.6.4 *Application of Multiple Grounds for Reduction of a Sanction***

Where an *Athlete* or other *Person* establishes entitlement to reduction in sanction under more than one provision of Article 10.4, 10.5 or 10.6 above, before applying any reduction or suspension under Article 10.6, the otherwise applicable period of *Ineligibility* shall be determined in accordance with Articles 10.2, 10.3, 10.4, and 10.5 above. If the *Athlete* or other *Person* establishes entitlement to a reduction or suspension of the period of *Ineligibility* under Article 10.6 above, then the period of *Ineligibility* may be reduced or suspended, but not below one-fourth of the otherwise applicable period of *Ineligibility*.

**10.7 Multiple Violations**

**10.7.1** For an *Athlete* or other *Person's* second anti-doping rule violation, the period of *Ineligibility* shall be the greater of:

- a. six months;
- b. one-half of the period of *Ineligibility* imposed for the first anti-doping rule violation without taking into account any reduction under Article 10.6 above; or
- c. twice the period of *Ineligibility* otherwise applicable to the second anti-doping rule violation treated as if it were a first violation, without taking into account any reduction under Article 10.6 above.

The period of *Ineligibility* established above may then be further reduced by the application of Article 10.6 above.

**10.7.2** A third anti-doping rule violation will always result in a lifetime



period of *Ineligibility*, except if the third violation fulfills the condition for elimination or reduction of the period of *Ineligibility* under Article 10.4 or 10.5 above, or involves a violation of Article 2.4 above. In these particular cases, the period of *Ineligibility* shall be from eight years to lifetime *Ineligibility*.

**10.7.3** An anti-doping rule violation for which an *Athlete* or other *Person* has established *No Fault or Negligence* shall not be considered a prior violation for purposes of this Article.

**10.7.4 Additional Rules for Certain Potential Multiple Violations**

**10.7.4.1** For purposes of imposing sanctions under Article 10.7, an anti-doping rule violation will only be considered a second violation if the UIPM Doping Review Panel can establish that the *Athlete* or other *Person* committed the second anti-doping rule violation after the *Athlete* or other *Person* received notice pursuant to Article 7 above, or after UIPM made reasonable efforts to give notice of the first anti-doping rule violation. If the UIPM Doping Review Panel cannot establish this, the violations shall be considered together as one single first violation, and the sanction imposed shall be based on the violation that carries the more severe sanction.

**10.7.4.2** If, after the imposition of a sanction for a first anti-doping rule violation, UIPM discovers facts involving an anti-doping rule violation by the *Athlete* or other *Person* which occurred prior to notification regarding the first violation, then the UIPM Doping Review Panel shall impose an additional sanction based on the sanction that could have been imposed if the two violations had been adjudicated at the same time. Results in all *Competitions* dating back to the earlier anti-doping rule violation will be *Disqualified* as provided in Article 10.8 below.

**10.7.5 Multiple Anti-Doping Rule Violations during Ten-Year Period**

For purposes of Article 10.7, each anti-doping rule violation must take place within the same ten-year period in order to be considered multiple violations.

**10.8 Disqualification of Results in Competitions Subsequent to Sample Collection or Commission of an Anti-Doping Rule Violation**

In addition to the automatic *Disqualification* of the results in the *Competition* which produced the positive *Sample* under Article 9 above, all other competitive results of the *Athlete* obtained from the date a positive *Sample* was collected (whether *In-Competition* or *Out-of-Competition*), or other anti-doping rule violation occurred, through the commencement of any *Provisional Suspension* or *Ineligibility* period, shall, unless fairness requires otherwise, be *Disqualified* with all of the resulting *Consequences* including forfeiture of any medals, points and prizes.

**10.9 Allocation of CAS Cost Awards and Forfeited Prize Money**

The priority for repayment of CAS cost awards and forfeited prize money

shall be: first, payment of costs awarded by CAS; and second, reimbursement of the expenses of UIPM.

#### 10.10 Financial Consequences

Where an *Athlete* or other *Person* commits an anti-doping rule violation, the UIPM Doping Review Panel may, in its discretion and subject to the principle of proportionality, elect to recover from the *Athlete* or other *Person* costs associated with the anti-doping rule violation, regardless of the period of *Ineligibility* imposed.

UIPM's recovery of costs shall not be considered a basis for reducing the *Ineligibility* or other sanction which would otherwise be applicable under these Anti-Doping Rules or the *Code*.

#### 10.11 Commencement of *Ineligibility* Period

Except as provided below, the period of *Ineligibility* shall start on the date of the final hearing decision providing for *Ineligibility* or, if the hearing is waived or there is no hearing, on the date *Ineligibility* is accepted or otherwise imposed.

##### 10.11.1 Delays Not Attributable to the Athlete or other Person

Where there have been substantial delays in the hearing process or other aspects of *Doping Control* not attributable to the *Athlete* or other *Person*, the UIPM Doping Review Panel may start the period of *Ineligibility* at an earlier date commencing as early as the date of *Sample* collection or the date on which another anti-doping rule violation last occurred. All competitive results achieved during the period of *Ineligibility*, including retroactive *Ineligibility*, shall be *Disqualified*.

##### 10.11.2 Timely Admission

Where the *Athlete* or other *Person* promptly (which, in all events, for an *Athlete* means before the *Athlete* competes again) admits the anti-doping rule violation after being confronted with the anti-doping rule violation by the UIPM Secretary General, the period of *Ineligibility* may start as early as the date of *Sample* collection or the date on which another anti-doping rule violation last occurred. In each case, however, where this Article is applied, the *Athlete* or other *Person* shall serve at least one-half of the period of *Ineligibility* going forward from the date the *Athlete* or other *Person* accepted the imposition of a sanction, the date of a hearing decision imposing a sanction, or the date the sanction is otherwise imposed. This Article shall not apply where the period of *Ineligibility* has already been reduced under Article 10.6.3 above.

##### 10.11.3 Credit for Provisional Suspension or Period of *Ineligibility* Served

**10.11.3.1** If a *Provisional Suspension* is imposed and respected by the *Athlete* or other *Person*, then the *Athlete* or other *Person* shall receive a credit for such period of *Provisional Suspension* against any period of *Ineligibility* which may ultimately be imposed. If a period

of *Ineligibility* is served pursuant to a decision that is subsequently appealed, then the *Athlete* or other *Person* shall receive a credit for such period of *Ineligibility* served against any period of *Ineligibility* which may ultimately be imposed on appeal.

**10.11.3.2** If an *Athlete* or other *Person* voluntarily accepts a *Provisional Suspension* in writing from UIPM and thereafter respects the *Provisional Suspension*, the *Athlete* or other *Person* shall receive a credit for such period of voluntary *Provisional Suspension* against any period of *Ineligibility* which may ultimately be imposed. A copy of the *Athlete* or other *Person's* voluntary acceptance of a *Provisional Suspension* shall be provided promptly to each party entitled to receive notice of an asserted anti-doping rule violation under Article 14.1 below.

**10.11.3.3** No credit against a period of *Ineligibility* shall be given for any time period before the effective date of the *Provisional Suspension* or voluntary *Provisional Suspension* regardless of whether the *Athlete* elected not to compete or was suspended by his or her team.

**10.11.3.4** In *Team Events*, where a period of *Ineligibility* is imposed upon a team, unless fairness requires otherwise, the period of *Ineligibility* shall start on the date of the final hearing decision providing for *Ineligibility* or, if the hearing is waived, on the date *Ineligibility* is accepted or otherwise imposed. Any period of team *Provisional Suspension* (whether imposed or voluntarily accepted) shall be credited against the total period of *Ineligibility* to be served.

## 10.12 Status During *Ineligibility*

### 10.12.1 *Prohibition Against Participation During Ineligibility*

No *Athlete* or other *Person* who has been declared *Ineligible* may, during the period of *Ineligibility*, participate in any capacity in a *Competition* or activity (other than authorized anti-doping education or rehabilitation programs) authorized or organized by UIPM or any *National Federation* or a club or other member organisation of UIPM or any *National Federation*, or in *Competitions* authorized or organized by any professional league or any international or national level *Event* organisation or any elite or national-level sporting activity funded by a governmental agency.

An *Athlete* or other *Person* subject to a period of *Ineligibility* longer than four years may, after completing four years of the period of *Ineligibility*, participate as an *Athlete* in local sport events not sanctioned or otherwise under the jurisdiction of a *Code Signatory* or member of a *Code Signatory*, but only so long as the local sport event is not at a level that could otherwise qualify such *Athlete* or other *Person* directly or indirectly to compete in (or accumulate points toward) a national champi-



onship or *International Event*, and does not involve the *Athlete* or other *Person* working in any capacity with *Minors*.

An *Athlete* or other *Person* subject to a period of *Ineligibility* shall remain subject to *Testing*.

#### 10.12.2 Return to Training

As an exception to Article 10.12.1 above, an *Athlete* may return to train with a team or to use the facilities of a club or other member organisation of UIPM's member federation during the shorter of: (1) the last two months of the *Athlete's* period of *Ineligibility*, or (2) the last one-quarter of the period of *Ineligibility* imposed.

#### 10.12.3 Violation of the Prohibition of Participation during *Ineligibility*

Where an *Athlete* or other *Person* who has been declared *Ineligible* violates the prohibition against participation during *Ineligibility* described in Article 10.12.1 above, the results of such participation shall be *Disqualified* and a new period of *Ineligibility* equal in length up to the original period of *Ineligibility* shall be added to the end of the original period of *Ineligibility* by the UIPM Doping Review Panel. The new period of *Ineligibility* may be adjusted based on the *Athlete* or other *Person's* degree of *Fault* and other circumstances of the case. The determination of whether an *Athlete* or other *Person* has violated the prohibition against participation, and whether an adjustment is appropriate, shall be made by the Anti-Doping Organisation whose results management led to the imposition of the initial period of *Ineligibility*. This decision may be appealed under Article 13 below.

Where an *Athlete Support Person* or other *Person* assists a *Person* in violating the prohibition against participation during *Ineligibility*, UIPM shall impose sanctions for a violation of Article 2.9 above for such assistance.

#### 10.12.4 Withholding of Financial Support during *Ineligibility*

In addition, for any anti-doping rule violation not involving a reduced sanction as described in Article 10.4 or 10.5 above, some or all sport-related financial support or other sport-related benefits received by such *Person* will be withheld by UIPM and its *National Federations*.

### 10.13 Automatic Publication of Sanction

A mandatory part of each sanction shall include automatic publication, as provided in Article 14.3 below.

## 11

## CONSEQUENCES FOR TEAMS

### 11.1 Testing of Teams

Where one member of a team has been notified of an anti-doping rule violation under Article 7 above in connection with an *Event*, the ruling body for the *Event* shall conduct appropriate *Target Testing* of all members of the

team during the *Event Period*.

## 11.2 **Consequences for Teams**

- 11.2.1** An anti-doping rule violation committed by a member of a team in connection with an *In-Competition* test automatically leads to *Disqualification* of the result obtained by the team in that *Competition*, with all resulting consequences for the team and its members, including forfeiture of any medals, points and prizes.
- 11.2.2** An anti-doping rule violation committed by a member of a team occurring during or in connection with an *Event* may lead to *Disqualification* of all of the results obtained by the team in that *Event* with all consequences for the team and its members, including forfeiture of all medals, points and prizes, except as provided in Article 11.2.3 below.
- 11.2.3** Where an *Athlete* who is a member of a team committed an anti-doping rule violation during or in connection with one *Competition* in an *Event*, if the other member(s) of the team establish(es) that he/she/they bear(s) *No Fault or Negligence* for that violation, the results of the team in any other *Competition(s)* in that *Event* shall not be *Disqualified* unless the results of the team in the *Competition(s)* other than the *Competition* in which the anti-doping rule violation occurred were likely to have been affected by the *Athlete's* anti-doping rule violation.

# 12

## **SANCTIONS AND COSTS ASSESSED AGAINST SPORTING BODIES**

- 12.1** UIPM has the authority to withhold some or all funding or other non-financial support to *National Federations* that are not in compliance with these Anti-Doping Rules.
- 12.2** *National Federations* shall be obligated to reimburse UIPM for all costs (including but not limited to laboratory fees, hearing expenses and travel) related to a violation of these Anti-Doping Rules committed by an *Athlete* or other *Person* affiliated with that *National Federation*.
- 12.3** UIPM may elect to take additional disciplinary action against *National Federations* with respect to recognition, the eligibility of its officials and *Athletes* to participate in International Events and fines based on the following:
  - 12.3.1** Four or more violations of these Anti-Doping Rules (other than violations involving Article 2.4 above) are committed by *Athletes* or other *Persons* affiliated with a *National Federation* within a 12-month period in testing conducted by UIPM or *Anti-Doping Organisations* other than the *National Federation* or its *National Anti-Doping Organisation*. In such event the UIPM Executive Board may in its discretion elect to: (a) ban all officials from that *National Federation* for participation in any UIPM activities for

a period of up to two years and/or (b) fine the *National Federation* in an amount up to \$ 300 U.S. Dollars. (For purposes of this Rule, any fine paid pursuant to Rule 12.3.2 below shall be credited against any fine assessed.)

**12.3.1.1** If four or more violations of these Anti-Doping Rules (other than violations involving Articles 2.4 above) are committed in addition to the violations described in Article 12.3.1 above by *Athletes* or other *Persons* affiliated with a *National Federation* within a 12-month period in *Testing* conducted by UIPM or *Anti-Doping Organisations* other than the *National Federation* or its *National Anti-Doping Organisation*, then the UIPM Executive Board may suspend that *National Federation's* membership for a period of up to 4 years.

**12.3.2** More than one *Athlete* or other *Person* from a *National Federation* commits an *Anti-Doping Rule* violation during an *International Event*. In such event the UIPM Executive Board may fine that *National Federation* in an amount up to 300 U.S. Dollars.

**12.3.3** A *National Federation* has failed to make diligent efforts to keep the UIPM informed about an *Athlete's* whereabouts after receiving a request for that information from UIPM. In such event the UIPM Executive Board may fine the *National Federation* in an amount up to \$ 300 U.S. Dollars per *Athlete* in addition to all of the UIPM costs incurred in *Testing* that *National Federation's Athletes*.

## 13

## APPEALS

### 13.1 Decisions Subject to Appeal

Decisions made under these Anti-Doping Rules may be appealed as set forth below in Article 13.2 through 13.7 read together with Article 17.3 UIPM Anti-Doping Procedures or as otherwise provided in these Anti-Doping Rules, the *Code* or the *International Standards*. Such decisions shall remain in effect while under appeal unless the appellate body orders otherwise. Before an appeal is commenced, any post-decision review provided in these Rules must be exhausted, except for WADA (see Article 13.1.3 below).

#### 13.1.1 Scope of Review Not Limited

The scope of review on appeal includes all issues relevant to the matter and is expressly not limited to the issues or scope of review before the initial decision maker.

#### 13.1.2 CAS Shall Not Defer to the Findings Being Appealed

In making its decision, CAS need not give deference to the discretion exercised by the body whose decision is being appealed.

#### 13.1.3 WADA Not Required to Exhaust Internal Remedies

Where WADA has a right to appeal under Article 13 and no oth-



er party has appealed a final decision within UIPM's process, WADA may appeal such decision directly to CAS without having to appeal to the UIPM Court of Arbitration.

### **13.2 Appeals from Decisions Regarding Anti-Doping Rule Violations, *Consequences*, *Provisional Suspensions*, Recognition of Decisions and Jurisdiction**

A decision that an anti-doping rule violation was committed, a decision imposing *Consequences* or not imposing *Consequences* for an anti-doping rule violation, or a decision that no anti-doping rule violation was committed; a decision that an anti-doping rule violation proceeding cannot go forward for procedural reasons (including, for example, prescription); a decision by WADA not to grant an exception to the six months' notice requirement for a retired *Athlete* to return to *Competition* under Article 5.7.1 above; a decision by WADA assigning results management under Article 7.1 of the *Code*; a decision by the chairperson of the UIPM Doping Review Panel not to bring forward an *Adverse Analytical Finding* or an *Atypical Finding* as an anti-doping rule violation, or a decision not to go forward with an anti-doping rule violation after an investigation under Article 7.7 above; a decision to impose a *Provisional Suspension* as a result of a *Provisional Hearing*; UIPM's failure to comply with Article 7.9 above; a decision that UIPM lacks jurisdiction to rule on an alleged anti-doping rule violation or its *Consequences*; a decision to suspend, or not suspend, a period of *Ineligibility* or to reinstate, or not reinstate, a suspended period of *Ineligibility* under Article 10.6.1 above; a decision under Article 10.12.3 above; and a decision by UIPM not to recognize another *Anti-Doping Organisation's* decision under Article 15, may be appealed exclusively as provided in Articles 13.2 – 13.7.

#### **13.2.1 Appeals Involving *International-Level Athletes* or *International Events***

In cases arising from participation in an *International Event* or in cases involving *International-Level Athletes*, the decision may be appealed exclusively to CAS.

#### **13.2.2 Appeals Involving *Other Athletes* or *Other Persons***

In cases where Article 13.2.1 above is not applicable, the decision may be appealed to a national-level appeal body, being an independent and impartial body established in accordance with rules adopted by the *National Anti-Doping Organisation* having jurisdiction over the *Athlete* or other *Person*. The rules for such appeal shall respect the following principles: a timely hearing; a fair and impartial hearing panel; the right to be represented by counsel at the *Person's* own expense; and a timely, written, reasoned decision. If the *National Anti-Doping Organisation* has not established such a body, the decision may be appealed to CAS in accordance with the provisions applicable before such court.

#### **13.2.3 *Persons Entitled to Appeal***

In cases under Article 13.2.1 above, the following parties shall have the right to appeal to CAS: (a) the *Athlete* or other *Person* who is the subject of the decision being appealed; (b) the other party to the case in which the decision was rendered; (c) UIPM; (d) the *National Anti-Doping Organisation* of the *Person's* country of residence or countries where the *Person* is a national

or license holder; (e) the International Olympic Committee or International Paralympic Committee, as applicable, where the decision may have an effect in relation to the Olympic Games or Paralympic Games, including decisions affecting eligibility for the Olympic Games or Paralympic Games; and (f) WADA.

In cases under Article 13.2.2 above, the parties having the right to appeal to the national-level appeal body shall be as provided in the *National Anti-Doping Organisation's* rules but, at a minimum, shall include the following parties: (a) the *Athlete* or other *Person* who is the subject of the decision being appealed; (b) the other party to the case in which the decision was rendered; (c) UIPM; (d) the *National Anti-Doping Organisation* of the *Person's* country of residence; (e) the International Olympic Committee or International Paralympic Committee, as applicable, where the decision may have an effect in relation to the Olympic Games or Paralympic Games, including decisions affecting eligibility for the Olympic Games or Paralympic Games; and (f) WADA. For cases under Article 13.2.2 above, WADA, the International Olympic Committee, the International Paralympic Committee, and UIPM shall also have the right to appeal to CAS with respect to the decision of the national-level appeal body. Any party filing an appeal shall be entitled to assistance from CAS to obtain all relevant information from the *Anti-Doping Organisation* whose decision is being appealed and the information shall be provided if CAS so directs.

Notwithstanding any other provision herein, the only *Person* who may appeal from a *Provisional Suspension* is the *Athlete* or other *Person* upon whom the *Provisional Suspension* is imposed.

#### **13.2.4 Cross Appeals and other Subsequent Appeals Allowed**

Cross appeals and other subsequent appeals by any respondent named in cases brought to CAS under the *Code* are specifically permitted. Any party with a right to appeal under this Article 13 must file a cross appeal or subsequent appeal at the latest with the party's answer.

### **13.3 Failure to Render a Timely Decision**

Where, in a particular case, the UIPM Doping Review Panel fails to render a decision with respect to whether an anti-doping rule violation was committed within a reasonable deadline set by WADA, WADA may elect to appeal directly to CAS as if UIPM had rendered a decision finding no anti-doping rule violation. If the CAS hearing panel determines that an anti-doping rule violation was committed and that WADA acted reasonably in electing to appeal directly to CAS, then WADA's costs and attorney fees in prosecuting the appeal shall be reimbursed to WADA by UIPM.

### **13.4 Appeals Relating to TUEs**

TUE decisions may be appealed exclusively as provided in Article 4.4.

### **13.5 Notification of Appeal Decisions**

Any *Anti-Doping Organisation* that is a party to an appeal shall promptly provide the appeal decision to the *Athlete* or other *Person* and to the other *Anti-Doping Organisations* that would have been entitled to appeal under Article 13.2.3 above as provided under Article 14.2 below.

### 13.6 Appeal from Decisions Pursuant to Article 12

Decisions by the UIPM Executive Board pursuant to Article 12 above may be appealed exclusively to the UIPM Court of Arbitration and thereafter to CAS by the *National Federation*.

### 13.7 Time for Filing Appeals

#### 13.7.1 Appeals to CAS

The time to file an appeal to CAS shall be twenty-one days from the date of receipt of the final decision according to the UIPM Anti-Doping Procedures by the appealing party. The above notwithstanding, the following shall apply in connection with appeals filed by a party entitled to appeal but which was not a party to the proceedings that led to the decision being appealed:

- a. Within fifteen days from notice of the decision, such party/ies shall have the right to request a copy of the case file from the body that issued the decision;
- b. If such a request is made within the fifteen-day period, then the party making such request shall have twenty-one days from receipt of the file to file an appeal to CAS.

The above notwithstanding, the filing deadline for an appeal filed by WADA shall be the later of:

- a. Twenty-one days after the last day on which any other party in the case could have appealed; or
- b. Twenty-one days after WADA's receipt of the complete file relating to the decision.

#### 13.7.2 Appeals under Article 13.2.2

The time to file an appeal to an independent and impartial body established at national level in accordance with rules established by the *National Anti-Doping Organisation* shall be indicated by the same rules of the *National Anti-Doping Organisation*.

The above notwithstanding, the filing deadline for an appeal or intervention filed by WADA shall be the later of:

- a. Twenty-one days after the last day on which any other party in the case could have appealed, or
- b. Twenty-one days after WADA's receipt of the complete file relating to the decision.



## 14

**CONFIDENTIALITY AND REPORTING****14.1 Information Concerning Adverse Analytical Findings, Atypical Findings, and Other Asserted Anti-Doping Rule Violations****14.1.1 Notice of Anti-Doping Rule Violations to Athletes and other Persons**

Notice to *Athletes* or other *Persons* of anti-doping rule violations asserted against them shall occur as provided under Articles 7 above and 14 of these Anti-Doping Rules. Notice to an *Athlete* or other *Person* who is a member of a *National Federation* may be accomplished by delivery of the notice to the *National Federation*.

**14.1.2 Notice of Anti-Doping Rule Violations to National Anti-Doping Organisations and WADA**

Notice of the assertion of an anti-doping rule violation to *National Anti-Doping Organisations* and *WADA* shall occur as provided under Articles 7 above and 14 of these Anti-Doping Rules, simultaneously with the notice to the *Athlete* or other *Person*.

**14.1.3 Content of an Anti-Doping Rule Violation Notice**

Notification of an anti-doping rule violation under Article 2.1 above shall include: the *Athlete's* name, country, sport and discipline within the sport, the *Athlete's* competitive level, whether the test was *In-Competition* or *Out-of-Competition*, the date of *Sample* collection, the analytical result reported by the laboratory, and other information as required by the International Standard for Testing and Investigations.

Notice of anti-doping rule violations other than under Article 2.1 above shall include the rule violated and the basis of the asserted violation.

**14.1.4 Status Reports**

Except with respect to investigations which have not resulted in notice of an anti-doping rule violation pursuant to Article 14.1.1 above, *National Anti-Doping Organisations* and *WADA* shall be regularly updated on the status and findings of any review or proceedings conducted pursuant to Article 7, 8 or 13 above and shall be provided with a prompt written reasoned explanation or decision explaining the resolution of the matter.

**14.1.5 Confidentiality**

The recipient organisations shall not disclose this information beyond those *Persons* with a need to know (which would include the appropriate personnel at the applicable *National Olympic Committee*, *National Federation*, and team in a *Team Sport*) until UIPM has made *Public Disclosure* or has failed to make *Public Disclosure* as required in Article 14.3 below.

**14.1.6** UIPM ensures that information concerning *Adverse Analytical Findings*, *Atypical Findings*, and other asserted anti-doping rule

violations remains confidential until such information is *Publicly Disclosed* in accordance with Article 14.3 below, and includes provisions in any contract entered into between UIPM and any of its employees (whether permanent or otherwise), contractors, agents and consultants, for the protection of such confidential information as well as for the investigation and disciplining of improper and/or unauthorised disclosure of such confidential information.

## **14.2 Notice of Anti-Doping Rule Violation Decisions and Request for Files**

**14.2.1** Anti-doping rule violation decisions rendered pursuant to Article 7.11, 8.2, 10.4, 10.5, 10.6, 10.12.3 or 13.5 above shall include the full reasons for the decision, including, if applicable, a justification for why the greatest possible *Consequences* were not imposed. Where the decision is not in English or French, UIPM shall provide a short English or French summary of the decision and the supporting reasons.

**14.2.2** An *Anti-Doping Organisation* having a right to appeal a decision received pursuant to Article 14.2.1 above may, within fifteen days of receipt, request a copy of the full case file pertaining to the decision.

## **14.3 Public Disclosure**

**14.3.1** The identity of any *Athlete* or other *Person* who is asserted by UIPM to have committed an anti-doping rule violation may be *Publicly Disclosed* by UIPM only after notice has been provided to the *Athlete* or other *Person* in accordance with Article 7.3, 7.4, 7.5, 7.6 or 7.7 above and simultaneously to WADA and the *National Anti-Doping Organisation* of the *Athlete* or other *Person* in accordance with Article 14.1.2 above.

**14.3.2** No later than twenty days after it has been determined in a final appellate decision under Article 13.2.1 or 13.2.2 above, or such appeal has been waived, or a hearing in accordance with Article 8 above has been waived, or the assertion of an anti-doping rule violation has not been timely challenged, UIPM will *Publicly Report* the disposition of the matter, including the sport, the anti-doping rule violated, the name of the *Athlete* or other *Person* committing the violation, the *Prohibited Substance* or *Prohibited Method* involved (if any), and the *Consequences* imposed. UIPM will also *Publicly Report* within twenty days the results of final appeal decisions concerning anti-doping rule violations, including the information described above.

**14.3.3** In any case where it is determined, after a hearing or appeal, that the *Athlete* or other *Person* did not commit an anti-doping rule violation, the decision may be *Publicly Disclosed* only with the consent of the *Athlete* or other *Person* who is the subject of the decision. The UIPM Secretary General will use reasonable efforts to obtain such consent. If consent is obtained, UIPM will

*Publicly Disclose* the decision in its entirety or in such redacted form as the *Athlete* or other *Person* may approve.

- 14.3.4** Publication shall be accomplished at a minimum by placing the required information on the UIPM's website or publishing it through other means and leaving the information up for the longer of one month or the duration of any period of *Ineligibility*.
- 14.3.5** Neither UIPM, nor its *National Federations*, nor any official of either body, will publicly comment on the specific facts of any pending case (as opposed to general description of process and science) except in response to public comments attributed to the *Athlete* or other *Person* against whom an anti-doping rule violation is asserted, or their representatives.
- 14.3.6** The mandatory *Public Reporting* required in Article 14.3.2 above shall not be required where the *Athlete* or other *Person* who has been found to have committed an anti-doping rule violation is a *Minor*. Any optional *Public Reporting* in a case involving a *Minor* shall be proportionate to the facts and circumstances of the case.

#### **14.4 Statistical Reporting**

UIPM will publish at least annually a general statistical report of its *Doping Control* activities, with a copy provided to WADA. UIPM may also publish reports showing the name of each *Athlete* tested and the date of each *Testing*.

#### **14.5 Doping Control Information Clearinghouse**

To facilitate coordinated test distribution planning and to avoid unnecessary duplication in *Testing* by the various *Anti-Doping Organisations*, UIPM will report all *In-Competition* and *Out-of-Competition* tests on such *Athletes* to the WADA clearinghouse, using ADAMS, as soon as possible after such tests have been conducted. This information will be made accessible, where appropriate and in accordance with the applicable rules, to the *Athlete*, the *Athlete's National Anti-Doping Organisation* and any other *Anti-Doping Organisations* with *Testing* authority over the *Athlete*.

#### **14.6 Data Privacy**

- 14.6.1** UIPM may collect, store, process or disclose personal information relating to *Athletes* and other *Persons* where necessary and appropriate to conduct their anti-doping activities under the *Code*, the *International Standards* (including specifically the International Standard for the Protection of Privacy and Personal Information) and these Anti-Doping Rules.
- 14.6.2** Any *Participant* who submits information including personal data to any *Person* in accordance with these Anti-Doping Rules shall be deemed to have agreed, pursuant to applicable data protection laws and otherwise, that such information may be collected, processed, disclosed and used by such *Person* for the purposes of the implementation of these Anti-Doping Rules, in accordance with the International Standard for the Protection of Privacy and Personal Information and otherwise as required to implement these Anti-Doping Rules.



## 15

**APPLICATION AND RECOGNITION OF DECISIONS**

- 15.1** Subject to the right to appeal provided in Article 13 above, *Testing*, hearing results or other final adjudications of any *Signatory* which are consistent with the *Code* and are within that *Signatory's* authority shall be applicable worldwide and will be recognized and respected by UIPM and all its *National Federations*.
- 15.2** UIPM and its *National Federations* will recognize the measures taken by other bodies which have not accepted the *Code* if the rules of those bodies are otherwise consistent with the *Code*.
- 15.3** Subject to the right to appeal provided in Article 13 above, any decision of UIPM regarding a violation of these Anti-Doping Rules shall be recognized by all *National Federations*, which shall take all necessary action to render such decision effective.

## 16

**INCORPORATION OF UIPM ANTI-DOPING RULES AND OBLIGATIONS OF NATIONAL FEDERATIONS**

- 16.1** All *National Federations* and their members shall comply with these Anti-Doping Rules and the UIPM Anti-Doping Procedures as far as the latter are applicable. All *National Federations* and other members shall include in their regulations the provisions necessary to ensure that UIPM may enforce these Anti-Doping Rules and the UIPM Anti-Doping Procedures directly as against *Athletes* under their anti-doping jurisdiction (including *National-Level Athletes*). These Anti-Doping Rules and the UIPM Anti-Doping Procedures shall also be incorporated either directly or by reference into each *National Federation's* rules so that the *National Federation* may enforce them itself directly as against *Athletes* under its anti-doping jurisdiction (including *National-Level Athletes*).
- 16.2** All *National Federations* shall establish rules requiring all *Athletes* and each *Athlete Support Personnel* who participates as coach, trainer, manager, team staff, official, medical or paramedical personnel in a *Competition* or activity authorized or organized by a *National Federation* or one of its member organisations to agree to be bound by these Anti-Doping Rules and to submit to the results management authority of the *Anti-Doping Organisation* responsible under the *Code* as a condition of such participation.
- 16.3** All *National Federations* shall report any information suggesting or relating to an anti-doping rule violation to UIPM and to their *National Anti-Doping Organisations*, and shall cooperate with investigations conducted by any *Anti-Doping Organisation* with authority to conduct the investigation.
- 16.4** All *National Federations* shall have disciplinary rules in place to prevent *Athlete Support Personnel* who are *Using Prohibited Substances* or *Prohibited Methods* without valid justification from providing support to *Athletes* under the jurisdiction of UIPM or the *National Federation*.
- 16.5** All *National Federations* shall be required to conduct anti-doping education in coordination with their *National Anti-Doping Organisations*.

## 17 STATUTE OF LIMITATIONS

No anti-doping rule violation proceeding may be commenced against an *Athlete* or other *Person* unless he or she has been notified of the anti-doping rule violation as provided in Article 7 above, or notification has been reasonably attempted, within ten years from the date the violation is asserted to have occurred.

## 18 UIPM COMPLIANCE REPORTS TO WADA

UIPM will report to WADA on UIPM's compliance with the *Code* in accordance with Article 23.5.2 of the *Code*.

## 19 EDUCATION

UIPM will plan, implement, evaluate and monitor information, education and prevention programs for doping-free sport on at least the issues listed at Article 18.2 of the *Code*, and shall support active participation by *Athletes* and *Athlete Support Personnel* in such programs.

## 20 AMENDMENT AND INTERPRETATION OF ANTI-DOPING RULES

- 20.1 These Anti-Doping Rules and the UIPM Anti-Doping Procedures may be amended from time to time by UIPM.
- 20.2 These Anti-Doping Rules shall be interpreted as an independent and autonomous text and not by reference to existing law or statutes.
- 20.3 The headings used for the various Parts and Articles of these Anti-Doping Rules are for convenience only and shall not be deemed part of the substance of these Anti-Doping Rules or to affect in any way the language of the provisions to which they refer.
- 20.4 The *Code* and the *International Standards* shall be considered integral parts of these Anti-Doping Rules and shall prevail in case of conflict.
- 20.5 These Anti-Doping Rules have been adopted pursuant to the applicable provisions of the *Code* and shall be interpreted in a manner that is consistent with applicable provisions of the *Code*. The Introduction shall be considered an integral part of these Anti-Doping Rules.
- 20.6 These Anti-Doping Rules and the UIPM Anti-Doping Procedures, which latter are to be considered an integral part of the UIPM Anti-Doping Rules, have come into full force and effect on 1 January 2016 (the "Effective Date"). They shall not apply retroactively to matters pending before the Effective Date; provided, however, that:

- 20.6.1** Anti-doping rule violations taking place prior to the Effective Date count as “first violations” or “second violations” for purposes of determining sanctions under Article 10 above for violations taking place after the Effective Date.
- 20.6.2** The retrospective periods in which prior violations can be considered for purposes of multiple violations under Article 10.7.5 and the statute of limitations set forth in Article 17 above are procedural rules and shall be applied retroactively; provided, however, that Article 17 shall only be applied retroactively if the statute of limitations period has not already expired by the Effective Date. Otherwise, with respect to any anti-doping rule violation case which is pending as of the Effective Date and any anti-doping rule violation case brought after the Effective Date based on an anti-doping rule violation which occurred prior to the Effective Date, the case shall be governed by the substantive anti-doping rules in effect at the time the alleged anti-doping rule violation occurred unless the panel hearing the case determines the principle of “lex mitior” appropriately applies under the circumstances of the case.
- 20.6.3** Any Article 2.4 whereabouts failure (whether a Filing Failure or a Missed Test, as those terms are defined in the International Standard for Testing and Investigations) prior to the Effective Date shall be carried forward and may be relied upon, prior to expiry, in accordance with the International Standard for Testing and Investigation, but it shall be deemed to have expired 12 months after it occurred.
- 20.6.4** With respect to cases where a final decision finding an anti-doping rule violation has been rendered prior to the Effective Date, but the *Athlete* or other *Person* is still serving the period of *Ineligibility* as of the Effective Date, the *Athlete* or other *Person* may apply to the *Anti-Doping Organisation* which had results management responsibility for the anti-doping rule violation to consider a reduction in the period of *Ineligibility* in light of these Anti-Doping Rules. Such application must be made before the period of *Ineligibility* has expired. The decision rendered may be appealed pursuant to Article 13.2 above. These Anti-Doping Rules shall have no application to any case where a final decision finding an anti-doping rule violation has been rendered and the period of *Ineligibility* has expired.
- 20.6.5** For purposes of assessing the period of *Ineligibility* for a second violation under Article 10.7.1 above, where the sanction for the first violation was determined based on rules in force prior to the Effective Date, the period of *Ineligibility* which would have been assessed for that first violation had these Anti-Doping Rules been applicable, shall be applied.

## 21

**INTERPRETATION OF THE CODE**

- 21.1** The official text of the *Code* shall be maintained by WADA and shall be published in English and French. In the event of any conflict between the English and French versions, the English version shall prevail.



- 21.2** The comments annotating various provisions of the *Code* are incorporated by reference into these Anti-Doping Rules, shall be treated as if set out in full herein, and shall be used to interpret these Anti-Doping Rules.
- 21.3** The *Code* shall be interpreted as an independent and autonomous text and not by reference to the existing law or statutes of the *Signatories* or governments.
- 21.4** The headings used for the various Parts and Articles of the *Code* are for convenience only and shall not be deemed part of the substance of the *Code* or to affect in any way the language of the provisions to which they refer.
- 21.5** The *Code* shall not apply retroactively to matters pending before the date the *Code* is accepted by a *Signatory* and implemented in its rules. However, pre-*Code* anti-doping rule violations would continue to count as “first violations” or “second violations” for purposes of determining sanctions under Article 10 for subsequent post-*Code* violations.
- 21.6** The Purpose, Scope and organisation of the World Anti-Doping Program and the *Code* and Appendix 1, Definitions, and Appendix 2, Examples of the Application of Article 10, shall be considered integral parts of the *Code*.

## 22

## ADDITIONAL ROLES AND RESPONSIBILITIES OF ATHLETES AND OTHER PERSONS

### 22.1 Roles and Responsibilities of *Athletes*

- 22.1.1** To be knowledgeable of and comply with these Anti-Doping Rules.
- 22.1.2** To be available for *Sample* collection at all times.
- 22.1.3** To take responsibility, in the context of anti-doping, for what they ingest and *Use*.
- 22.1.4** To inform medical personnel of their obligation not to *Use Prohibited Substances* and *Prohibited Methods* and to take responsibility to make sure that any medical treatment received does not violate these Anti-Doping Rules.
- 22.1.5** To disclose to their *National Anti-Doping Organisation* and to UIPM any decision by a non-*Signatory* finding that the *Athlete* committed an anti-doping rule violation within the previous ten years.
- 22.1.6** To cooperate with *Anti-Doping Organisations* investigating anti-doping rule violations.
- 22.1.7** Failure by any *Athlete* to cooperate in full with *Anti-Doping Organisations* investigating anti-doping rule violations may result in a charge of misconduct under UIPM’s Code of Ethics.

## 22.2 Roles and Responsibilities of *Athlete Support Personnel*

- 22.2.1 To be knowledgeable of and comply with these Anti-Doping Rules.
- 22.2.2 To cooperate with the *Athlete Testing* program.
- 22.2.3 To use his or her influence on *Athlete* values and behaviour to foster anti-doping attitudes.
- 22.2.4 To disclose to his or her *National Anti-Doping Organisation* and to UIPM any decision by a non-*Signatory* finding that he or she committed an anti-doping rule violation within the previous ten years.
- 22.2.5 To cooperate with *Anti-Doping Organisations* investigating anti-doping rule violations.
- 22.2.6 Failure by any *Athlete Support Personnel* to cooperate in full with *Anti-Doping Organisations* investigating anti-doping rule violations may result in a charge of misconduct under UIPM's Code of Ethics.
- 22.2.7 *Athlete Support Personnel* shall not *Use* or *Possess* any *Prohibited Substance* or *Prohibited Method* without valid justification.
- 22.2.8 *Use* or *Possession* of a *Prohibited Substance* or *Prohibited Method* by an *Athlete Support Personnel* without valid justification may result in a charge of misconduct under UIPM's Code of Ethics.

## APPENDIX 1

### DEFINITIONS

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

Administration: Providing, supplying, supervising, facilitating, or otherwise participating in the *Use* or *Attempted Use* by another *Person* of a *Prohibited Substance* or *Prohibited Method*. However, this definition shall not include the actions of bona fide medical personnel involving a *Prohibited Substance* or *Prohibited Method* used for genuine and legal therapeutic purposes or other acceptable justification and shall not include actions involving *Prohibited Substances* which are not prohibited in *Out-of-Competition Testing* unless the circumstances as a whole demonstrate that such *Prohibited Substances* are not intended for genuine and legal therapeutic purposes or are intended to enhance sport performance.

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

Adverse Passport Finding: A report identified as an *Adverse Passport Finding* as described in the applicable *International Standards*.

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



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

*Athlete Biological Passport*: The program and methods of gathering and collating data as described in the International Standard for Testing and Investigations and International Standard for Laboratories.

*Athlete Support Personnel*: Any coach, trainer, manager, agent, team staff, official, medical, paramedical personnel, parent or any other *Person* working with, treating or assisting an *Athlete* participating in or preparing for sports *Competition*.

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

*Atypical Finding*: A report from a WADA-accredited laboratory or other WADA-approved laboratory which requires further investigation as provided by the International Standard for Laboratories or related Technical Documents prior to the determination of an *Adverse Analytical Finding*.

*Atypical Passport Finding*: A report described as an *Atypical Passport Finding* as described in the applicable *International Standards*.

*CAS*: The Court of Arbitration for Sport.

*Code*: The World Anti-Doping Code.

*Competition*: A single race, match, game or singular sport contest. For anti-doping purposes and as far as the application and interpretation of these anti-doping rules is concerned, *Competition* shall be considered as a stage of as many events (following the definition of event contained in the UIPM Competition Rules) for UIPM sports as provided in the UIPM Competition Rules (five for Modern Pentathlon, two for Modern Biathlon, three for Modern Triathlon).

*Consequences of Anti-Doping Rule Violations ("Consequences")*: An *Athlete's* or other *Person's* violation of an anti-doping rule may result in one or more of the following: (a) *Disqualification* means the *Athlete's* results in a particular *Competition* or *Event* are invalidated, with all resulting *Consequences* including forfeiture of any medals, points and prizes; (b) *Ineligibility* means the *Athlete* or other *Person* is barred on account of

an anti-doping rule violation for a specified period of time from participating in any *Competition* or other activity or funding as provided in Article 10.12.1; (c) *Provisional Suspension* means the *Athlete* or other *Person* is barred temporarily from participating in any *Competition* or activity prior to the final decision at a hearing conducted under Article 8; (d) *Financial Consequences* means a financial sanction imposed for an anti-doping rule violation or to recover costs associated with an anti-doping rule violation; and (e) *Public Disclosure or Public Reporting* means the dissemination or distribution of information to the general public or *Persons* beyond those *Persons* entitled to earlier notification in accordance with Article 14. Teams in *Team Sports* may also be subject to *Consequences* as provided in Article 11 of the *Code*.

*Contaminated Product*: A product that contains a *Prohibited Substance* that is not disclosed on the product label or in information available in a reasonable Internet search.

*Disqualification*: See *Consequences of Anti-Doping Rule Violations* above.

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

*Event*: For anti-doping purposes and as far as the application and interpretation of these anti-doping rules is concerned, *Event* is a series of individual *Competitions* conducted together under one ruling body.

*Event Venues*: Those venues so designated by the ruling body for the *Event*.

*Event Period*: The time between the beginning and end of an *Event*, as established by the ruling body of the *Event*.

*Fault*: *Fault* is any breach of duty or any lack of care appropriate to a particular situation. Factors to be taken into consideration in assessing an *Athlete* or other *Person's* degree of *Fault* include, for example, the *Athlete's* or other *Person's* experience, whether the *Athlete* or other *Person* is a *Minor*, special considerations such as impairment, the degree of risk that should have been perceived by the *Athlete* and the level of care and investigation exercised by the *Athlete* in relation to what should have been the perceived level of risk. In assessing the *Athlete's* or other *Person's* degree of *Fault*, the circumstances considered must be specific and relevant to explain the *Athlete's* or other *Person's* departure from the expected standard of behaviour. Thus, for example, the fact that an *Athlete* would lose the opportunity to earn large sums of money during a period of *Ineligibility*, or the fact that the *Athlete* only has a short time left in his or her career, or the timing of the sporting calendar, would not be relevant factors to be considered in reducing the period of *Ineligibility* under Article 10.5.1 or 10.5.2.

*Financial Consequences*: see *Consequences of Anti-Doping Rule Violations*, above.

*In-Competition*: "*In-Competition*" means the period commencing twelve hours before the start of a *Competition* in which the *Athlete* is scheduled to participate through the end of such *Competition* (victory or closing ceremony) and the *Sample* collection process related to such *Competition*.

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

*Individual Sport*: Any sport that is not a *Team Sport*.

*Ineligibility*: See *Consequences of Anti-Doping Rule Violations* above.

*International Event/Competition*: An *Event* or *Competition* where the International Olympic Committee, the International Paralympic Committee, an International Federation, a *Major Event Organisation*, or another international sport organisation is the ruling body for the *Event* or appoints the technical officials for the *Event*.

*International-Level Athlete*: *Athletes* who compete in sport at the international level, as defined by each International Federation, consistent with the International Standard for Testing and Investigations. For the sports of Modern Pentathlon, Modern Biathlon and Modern Triathlon *International-Level Athletes* are defined as set out in the Scope section of the Introduction to these Anti-Doping Rules.

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

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

*Marker*: A compound, group of compounds or biological variable(s) that indicates the Use of a *Prohibited Substance* or *Prohibited Method*.

*Metabolite*: Any substance produced by a biotransformation process.

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

*National Anti-Doping Organisation*: The entity(ies) designated by each country as possessing the primary authority and responsibility to adopt and implement anti-doping rules, direct the collection of *Samples*, the management of test results, and the conduct of hearings at the national level. If this designation has not been made by the competent public authority(ies), the entity shall be the country's *National Olympic Committee* or its designee.

*National Event/Competition*: A sport *Event* or *Competition* involving *International-* or *National-Level Athletes* that is not an *International Event*.

*National Federation*: A national or regional entity which is a member of or is recognized by UIPM as the entity governing UIPM's sport in that nation or region.

*National-Level Athlete*: *Athletes* who compete in sport at the national level, as defined by each *National Anti-Doping Organisation*, consistent with the International Standard for Testing and Investigations.

*National Olympic Committee*: The organisation recognized by the International Olympic Committee. The term *National Olympic Committee* shall also include the National Sport Confederation in those countries where the National Sport Confederation assumes typical *National Olympic Committee* responsibilities in the anti-doping area.



No Fault or Negligence: The *Athlete* or other *Person's* establishing that he or she did not know or suspect, and could not reasonably have known or suspected even with the exercise of utmost caution, that he or she had *Used* or been administered the *Prohibited Substance* or *Prohibited Method* or otherwise violated an anti-doping rule. Except in the case of a *Minor*, for any violation of Article 2.1, the *Athlete* must also establish how the *Prohibited Substance* entered his or her system.

No Significant Fault or Negligence: The *Athlete* or other *Person's* establishing that his or her *Fault* or negligence, when viewed in the totality of the circumstances and taking into account the criteria for *No Fault* or negligence, was not significant in relationship to the anti-doping rule violation. Except in the case of a *Minor*, for any violation of Article 2.1, the *Athlete* must also establish how the *Prohibited Substance* entered his or her system.

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

Participant: Any *Athlete* or *Athlete Support Person*.

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

Possession: The actual, physical *Possession*, or the constructive *Possession* (which shall be found only if the *Person* has exclusive control or intends to exercise control over the *Prohibited Substance* or *Prohibited Method* or the premises in which a *Prohibited Substance* or *Prohibited Method* exists); provided, however, that if the *Person* does not have exclusive control over the *Prohibited Substance* or *Prohibited Method* or the premises in which a *Prohibited Substance* or *Prohibited Method* exists, constructive *Possession* shall only be found if the *Person* knew about the presence of the *Prohibited Substance* or *Prohibited Method* and intended to exercise control over it. Provided, however, there shall be no anti-doping rule violation based solely on *Possession* if, prior to receiving notification of any kind that the *Person* has committed an anti-doping rule violation, the *Person* has taken concrete action demonstrating that the *Person* never intended to have *Possession* and has renounced *Possession* by explicitly declaring it to an *Anti-Doping Organisation*. Notwithstanding anything to the contrary in this definition, the purchase (including by any electronic or other means) of a *Prohibited Substance* or *Prohibited Method* constitutes *Possession* by the *Person* who makes the purchase.

Prohibited List: The List identifying the *Prohibited Substances* and *Prohibited Methods*.

Prohibited Method: Any method so described on the *Prohibited List*.

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

Provisional Hearing: For purposes of Article 7.9, an expedited abbreviated hearing occurring prior to a hearing under Article 8 that provides the *Athlete* with notice and an opportunity to be heard in either written or oral form.

Provisional Suspension: See *Consequences of Anti-Doping Rule Violations* above.

Publicly Disclose or Publicly Report: See *Consequences of Anti-Doping Rule Violations* above.

Regional Anti-Doping Organisation: A regional entity designated by member countries to coordinate and manage delegated areas of their national anti-doping programs, which may include the adoption and implementation of anti-doping rules, the planning and collection of *Samples*, the management of results, the review of *TUEs*, the conduct of hearings, and the conduct of educational programs at a regional level.

Registered Testing Pool: The pool of highest-priority *Athletes* established separately at the international level by International Federations and at the national level by *National Anti-Doping Organisations*, who are subject to focused *In-Competition* and *Out-of-Competition Testing* as part of that International Federation's or *National Anti-Doping Organisation's* test distribution plan and therefore are required to provide whereabouts information as provided in Article 5.6 of the *Code* and the International Standard for Testing and Investigations.

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

Signatories: Those entities signing the *Code* and agreeing to comply with the *Code*, as provided in Article 23 of the *Code*.

Specified Substance: See Article 4.2.2.

Strict Liability: The rule which provides that under Article 2.1 and Article 2.2, it is not necessary that intent, *Fault*, negligence, or knowing *Use* on the *Athlete's* part be demonstrated by the *Anti-Doping Organisation* in order to establish an anti-doping rule violation.

Substantial Assistance: For purposes of Article 10.6.1, a *Person* providing *Substantial Assistance* must: (1) fully disclose in a signed written statement all information he or she possesses in relation to anti-doping rule violations, and (2) fully cooperate with the investigation and adjudication of any case related to that information, including, for example, presenting testimony at a hearing if requested to do so by an *Anti-Doping Organisation* or hearing panel. Further, the information provided must be credible and must comprise an important part of any case which is initiated or, if no case is initiated, must have provided a sufficient basis on which a case could have been brought.

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

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

Team Sport: A sport in which the substitution of players is permitted during a *Competition*.

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

Trafficking: Selling, giving, transporting, sending, delivering or distributing (or *Possessing* for any such purpose) a *Prohibited Substance* or *Prohibited Method* (either physically or by any electronic or other means) by an *Athlete*, *Athlete Support Person* or any other *Person* subject to the jurisdiction of an *Anti-Doping Organisation* to any third party; provided, however, this definition shall not include the actions of "bona fide" medical personnel involving a *Prohibited Substance* used for genuine and legal

therapeutic purposes or other acceptable justification, and shall not include actions involving *Prohibited Substances* which are not prohibited in *Out-of-Competition Testing* unless the circumstances as a whole demonstrate such *Prohibited Substances* are not intended for genuine and legal therapeutic purposes or are intended to enhance sport performance.

TUE: Therapeutic Use Exemption, as described in Article 4.4.

UNESCO Convention: The International Convention against Doping in Sport adopted by the 33<sup>rd</sup> session of the UNESCO General Conference on 19 October, 2005 including any and all amendments adopted by the States Parties to the Convention and the Conference of Parties to the International Convention against Doping in Sport.

Use: The utilization, application, ingestion, injection or consumption by any means whatsoever of any *Prohibited Substance* or *Prohibited Method*.

WADA: The World Anti-Doping Agency.



## APPENDIX 2

EXAMPLES OF THE APPLICATION OF ARTICLE 10 can be found on the UIPM website  
[www.uipmworld.org](http://www.uipmworld.org)

## APPENDIX 3

### CONSENT FORM

As a member of [National Federation] and/or a participant in an event authorized or recognized by [National Federation or UIPM], I hereby declare as follows:

I acknowledge that I am bound by, and confirm that I shall comply with, all of the provisions of UIPM Constitution, UIPM Rules on Internal Organisation, UIPM Competition Rules, UIPM Anti-Doping Rules and UIPM Anti-Doping Procedures, UIPM Medical Rules, UIPM Advertising and Media Rules and UIPM Code of Ethics (all as amended from time to time) and the *International Standards* issued by the World Anti-Doping Agency and published on its website.

I acknowledge the authority of UIPM and its member National Federations and/or National Anti-Doping Organisations under the UIPM Anti-Doping Rules and UIPM Anti-Doping Procedures to enforce, to manage results under, and to impose sanctions in accordance with, the UIPM Anti-Doping Rules, UIPM Anti-Doping Procedures and the UIPM Code of Ethics.

**I also acknowledge and agree that any dispute arising out of a decision made pursuant to the UIPM Anti-Doping Rules and UIPM Anti-Doping Procedures, after exhaustion of the process expressly provided for in the UIPM Anti-Doping Rules and UIPM Anti-Doping Procedures, may be appealed exclusively as provided in Article 13 of the UIPM Anti-Doping Rules and Article 17.3 UIPM Anti-Doping Procedures to an appellate body for final and binding arbitration, which in the case of International-Level Athletes is the UIPM Court of Arbitration and thereafter the Court of Arbitration for Sport (CAS).**

**Further to that I acknowledge and agree that any other dispute under the UIPM Constitution, UIPM Rules on Internal Organisation, UIPM Competition Rules, UIPM Medical Rules, UIPM Marketing and Media Rules, as well as UIPM Code of Ethics, as far as not specified differently by these rules will be finally decided by the UIPM Executive Board with appeal exclusively to the UIPM Court of Arbitration with eventual further appeal exclusively to CAS.**

I acknowledge and agree that the decisions of the arbitral appellate bodies referenced above shall be final and enforceable, and that I will not bring any claim, arbitration, lawsuit or litigation in any other court or tribunal.

As a competitor, further to the above, I agree that UIPM shares with my National Anti-Doping Organisation all my personal data with relevance for the Athlete Biological Passport according to the WADA Operating Guidelines; that personal data are collected by the UIPM and such data are stored and used by the UIPM, and when necessary, third parties, for the purposes of, and to the extent necessary in relation to facilitate their participation in, and/or organizing competitions; to the transfer of my personal data to UIPM and by them to such third parties, and to the processing of such data and potentially any relevant sensitive personal data (including about unspent criminal convictions), as are necessary for security and other background checks by UIPM in order for them to gain the necessary accreditation for competitions; that UIPM and other necessary third parties, including National Anti-Doping Organisations, law enforcement and border services agencies, may share amongst themselves and with third parties my personal data for the purposes of investigating and/or prosecuting breaches of any of the relevant provisions of UIPM Statutes and UIPM Rules on In-

ternal Organisation. This includes in particular my personal data with relevance for the Athlete Biological Passport according to the WADA Operating Guidelines and/or betting rules; to the collection and use of personal data, photos, films and statistics in UIPM approved research or other projects (e.g. athlete biographies, questionnaires, filming, measures, medical encounters etc.) conducted during the competitions; to my personal data being used in any other way to which I provide my express consent to the UIPM.

I have read and understand the present declaration.

*Date*

*Print Name (Last Name, First Name)*

*Function (Competitor/Official)*

*Place of Residence*

*Date of Birth (Day/Month/Year)*

*Signature*

*(or, if a minor, signature of legal guardian)*





The background of the cover is a photograph of a laboratory flask, likely containing a liquid, with a green overlay. The flask has some faint markings, including "0.65" and "0.17". A yellow horizontal bar is positioned above the chapter title.

## CHAPTER 3

# UIPM ANTI-DOPING PROCEDURES

2018 EDITION



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## ● PART ONE: TESTING SPECIFIC DEFINITIONS AND SCOPE

### 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.

## 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

## 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 presenting 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.

## 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 follow-

ing 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:

- a. 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;
- b. that a DCO attempted to test the *Athlete* on a given day in the quarter, during the 60-minute time slot specified in the *Athlete's* Whereabouts Filing for that day, by visiting the location specified for that time slot;

- c. that during that specified 60-minute time slot, the DCO did what was reasonable in the circumstances (i.e. given the nature of the specified location) to try to locate the *Athlete*, short of giving the *Athlete* any advanced notice of the test;
- d. that Article 4.13 above does not apply or (if it applies) was complied with; and
- e. that the *Athlete's* failure to be available for *Testing* at the specified location during the specified 60-minute time slot was at least negligent. For these purposes, the *Athlete* will be presumed to have been negligent upon proof of the matters set out 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.

## 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.

## 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:

- 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;
- 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;
- 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.

## 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 athletes 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.

## 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 hypoxia 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.

## 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.

## 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.

## 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
  - 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
  - The applicable rules required the *Athlete* or permitted the *Athlete* to apply for a retroactive *TUE*; or
  - 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. 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
  - b. a comprehensive medical history, including documentation from the original diagnosing physician(s) (where possible) and the results of all examinations, laboratory investigations and imaging studies relevant to the application.
- 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*.

## 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 mentioned 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

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.

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

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### 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.

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### 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*.

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## 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.













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