



# **ANTI-DOPING RULES**

*(In force from 1 April 2020)*



## Specific Definitions

The words and phrases used in these Rules that are defined terms (denoted by initial capital letters) shall have the meanings specified in the Constitution and the Generally Applicable Definitions, or (in respect of the following words and phrases) the following meanings:

**"Athletics Integrity Unit"** means the unit described in Part X of the Constitution and "Integrity Unit" has the same meaning.

**"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 Anti-Doping Regulations.

**"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, other Major Event Organisations that conduct Testing at their Competitions, World Athletics, WADA and National Anti-Doping Organisations.

**"Anti-Doping Rules"** The Anti-Doping Rules as may be passed by the Council from time to time.

**"Anti-Doping Regulations"** The Anti-Doping Regulations as may be passed by the Council from time to time.

**"Area Association"** An area association of World Athletics responsible for fostering Athletics in one of the six areas into which the members are divided in the Constitution.

**"Athlete"** Any Person who participates in World Athletics, its Members and Area Associations by virtue of their agreement, membership, affiliation, authorisation, accreditation or participation in their activities or competitions and any other competitor in Athletics who is otherwise subject to the jurisdiction of any Signatory or other sports organisation accepting the Code.

**"Athlete Biological Passport"** The programme and methods of gathering and collating

Passports as described in the Athlete Biological Passport Operating Guidelines (and Technical documents) and the Anti-Doping Regulations.

**"Athlete Support Personnel"** Any coach, trainer, manager, authorised athlete representative, agent, team staff, official, medical or para-medical personnel, parent or any other Person working with, treating or assisting an International-Level Athlete participating in, or preparing for, Competition in Athletics.

**"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 identified as an Atypical Passport Finding as described in the Anti-Doping Regulations.

**"CAS"** The Court of Arbitration for Sport.

**"Code"** The World Anti-Doping Code.

**"Competition"** An Event or series of Events held over one or more days.

**"Competition Venues"** Those venues so designated by the ruling body over the Competition.

**"Competition Period"** The time between the beginning and the end of a Competition, as established by the ruling body of the Competition.

**"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 which means the Athlete's results in a particular Event or Competition are invalidated, with all resulting Consequences including forfeiture of any titles, awards, medals, points and prize and appearance money;
- (b) Ineligibility which 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 Rule 10.11.1(a);
- (c) Provisional Suspension which 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 Rule 8;

**(d) Financial Consequences which means a financial sanction imposed for an Anti-Doping Rule Violation or to recover costs associated with an Anti-Doping Rule Violation;**

**(e) Public Disclosure or Public Reporting** which means the disclosure of information to the general public or Persons beyond those Persons entitled to earlier notification in accordance with Rule 14.

**"Constitution"** The Constitution.

**"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.

**"Council"** The Council.

**"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"** A single race or contest in a Competition (e.g. the 100 metres or the Javelin Throw) including any qualifying rounds thereof.

**"Event Venues"** Those venues so designated by the ruling body for 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 their career, or the timing of the sporting calendar, would not be relevant factors to be considered in reducing the period of Ineligibility under Rule 10.5.1 or 10.5.2.

**"Filing Failure"** A failure by an Athlete (or 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 the Whereabouts Filing where necessary to ensure it remains accurate and complete, all in accordance with the Anti-Doping Regulations or the rules or regulations of a Member or Anti-Doping Organisation with jurisdiction over the Athlete that comply with the International Standard for Testing and Investigations.

**"In-Competition"** In-Competition means the period commencing twelve hours before an Event in which the Athlete is scheduled to participate through to the end of such Event and the Sample collection process related to such Event.

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

**"International Competition"** A Competition where the International Olympic Committee, the International Paralympic Committee, World Athletics, a Major Event Organisation or another international sport organisation is the ruling body for the Competition or appoints the technical officials for the Competition. The International Competitions under Rule 5.5.1 shall

be deemed International Competitions for purposes of these Rules and Rule 5 of the International Standard for Therapeutic Use Exemptions.

**"International-Level Athlete"** An Athlete as defined in Rule 1.8.

**"International Registered Testing Pool"** The pool of highest priority Athletes established by the Integrity Unit at the international level who are subject to focused In-Competition and Out-of-Competition Testing as part of World Athletics' Test Distribution Plan and therefore are required to provide whereabouts information as provided in Rule 5.7 and the International Standard for Testing and Investigations.

**"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 Organisation"** 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 competition.

**"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.

**"Member"** A national governing body for Athletics affiliated to World Athletics.

**"Member Federation"** The Member of World Athletics to which an Athlete or other Person is affiliated directly or through a club or another body affiliated to a Member. It has the same meaning as "Member" as described in the Constitution.

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

**"Missed Test"** A failure by an Athlete to be available for Testing at the location and time specified in the 60-minute time slot identified in their Whereabouts Filing for the day in question either in accordance with the Anti-Doping Regulations or with the rules or regulations of a Member or Anti-Doping Organisation with jurisdiction over the Athlete that comply with the International Standard for Testing and Investigations.

**"National Anti-Doping Organisation" or "NADO"** The entity(ies) designated by each Country or Territory 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 or Territory's National Olympic Committee or its designee.

**"National Olympic Committee"** The organisation recognised by the International Olympic Committee. The term National Olympic Committee shall also include the National Sport Confederation in those Countries or Territories where the National Sport Confederation assumes typical National Olympic Committee responsibilities in the anti-doping area.

**"National Registered Testing Pool"** The pool of highest priority Athletes established at national level by a Member Federation or National Anti-Doping Organisation who are subject to focused In-Competition and Out-of-Competition Testing as part of the Member Federation

or National Anti-Doping Organisation's test distribution plan and therefore are required to provide whereabouts information as provided in Rule 5.7 and the International Standard for Testing and Investigations.

**"National Team"** For the purposes of Rule 15, the Athletes entered by a Member Federation or a National Olympic Committee as applicable to compete at the specified competition.

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

**"No Fault or No Negligence"** The Athlete's or other Person's establishing that they did not know or suspect, and could not reasonably have known or suspected even with the exercise of utmost caution, that they 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 Rule 2.1, the Athlete must establish how the Prohibited Substance entered their system.

**"No Significant Fault or No Significant Negligence"** The Athlete's or other Person's establishing that their 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 Rule 2.1, the Athlete must establish how the Prohibited Substance entered their system.

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

**"Participant"** Any Athlete or Athlete Support Personnel.

**"Person"** Any natural Person (including any Athlete or Athlete Support Personnel) or an organisation or other entity.

**"Possession"** The actual, physical Possession or the constructive Possession of a Prohibited Substance or Prohibited Method (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 the Integrity Unit, a Member or 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 a Prohibited Method constitutes Possession by the Person who makes the purchase.

**"Prohibited List"** The Prohibited List published by WADA 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"** An expedited abbreviated hearing occurring prior to a hearing under Rule 8 that provides the Athlete or other Person with notice and an opportunity to be heard in written form as described in Rule 7.

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

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

**"Registered Testing Pool"** The pool of highest priority Athletes, established separately (i) by the Integrity Unit at the international level and (ii) by National Anti-Doping Organisations at the national level, who are subject to focussed In-Competition and Out-of-Competition Testing as part of World Athletics' or National Anti-Doping Organisation's respective test distribution plans and are required to provide whereabouts information for that purpose. The Integrity Unit shall publish a list that identifies the Athletes included in its Registered Testing Pool.

**"Relevant Anti-Doping Organisation"** In respect of a Member Federation, any one or more organisation, authority, body or entity operating in the region or country of the Member Federation that is responsible or has the authority within that region or country for anti-doping in the sport of Athletics or for any matter connected with the requirements of this Rule or is otherwise responsible for discharging any of the Member Federation's obligations under these Anti-Doping Rules.

**"Sample / Specimen"** Any biological material collected for the purposes of Doping Control.

**"Signatories"** Those entities signing the Code and agreeing to comply with the Code, including the International Olympic Committee, International Federations, National Olympic Committees, Major Event Organisations, National Anti-Doping Organisations and WADA.

**"Specified Substances"** See Rule 4.2.2.

**"Strict Liability"** The rule which provides that, under Rule 2.1 and Rule 2.2, 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.

**"Substantial Assistance"** For the purposes of Rule 10.6.1(a), a Person providing Substantial Assistance must (i) fully disclose in a signed written statement all information they possess in relation to Anti-Doping Rule Violations including those involving themselves and (ii) fully co-operate 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 the prosecuting authority 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 to prevent normal procedures from occurring.



**"Target Testing"** The selection of specific Athletes for Testing based on criteria set out in the International Standard for Testing and Investigations and/or the Anti-Doping Regulations.

**"Test Distribution Plan"** A document prepared by the Integrity Unit that plans for the Testing of Athletes over whom it has Testing Authority, in accordance with the International Standard for Testing and Investigations.

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

**"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 Personnel or any other Person subject to the jurisdiction of World Athletics, a Member or 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 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 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 Rule 4.4.

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

**"WADA"** The World Anti-Doping Agency.

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

**"Whereabouts Filing"** Information provided by or on behalf of an Athlete in the Registered Testing Pool that sets out the Athlete's whereabouts during the following quarter.

## 1. Introduction

- 1.1 World Athletics is a Signatory to the World Anti-Doping Code ("**Code**") and these Anti-Doping Rules are adopted by the Council in compliance with the mandatory provisions of the 2015 Code and in furtherance of World Athletics' continuing efforts to eradicate doping in Athletics.
- 1.2 In accordance with Article 16.1 of the 2017 Constitution, World Athletics established an Athletics Integrity Unit ("**Integrity Unit**") with effect from 3 April 2017 whose role is to protect the integrity of Athletics, including fulfilling World Athletics' obligations as a Signatory to the Code. World Athletics has delegated implementation of these Anti-Doping Rules to the Integrity Unit, including but not limited to the following activities in respect of International-Level Athletes and Athlete Support Personnel: Education, Testing, Investigations, Results Management, Hearings, Sanctions and Appeals. The references in these Anti-Doping Rules to World Athletics shall, where applicable, be references to the Integrity Unit (or to the relevant person, body or functional area within the Unit).
- 1.3 The Integrity Unit Board appoints the Head of the Integrity Unit who shall have responsibility for the day to day administration of the anti-doping programme in accordance with these Anti-Doping Rules. In particular, the Head of the Integrity Unit shall be the person who oversees the Testing and investigation of International-Athletes in accordance with Rule 5 (including overseeing the day to day implementation of the Test Distribution Plan) as well as the results management process in the case of International-Level Athletes and Athlete Support Personnel in accordance with Rule 7. The Head of the Integrity Unit may at any time in the course of their work seek an advisory opinion from the Integrity Unit Board or from such other person as they consider to be appropriate.
- 1.4 World Athletics has established a Disciplinary Tribunal to hear Anti-Doping Rule Violations under these Anti-Doping Rules.
- 1.5 These Anti-Doping Rules shall apply to World Athletics and to each of its Member Federations and Area Associations. All Member Federations and Area Associations shall comply with the Anti-Doping Rules and Anti-Doping Regulations. The Anti-Doping Rules and Anti-Doping Regulations shall be incorporated either directly, or by reference, into the rules or regulations of each Member Federation and Area Association, and each Member Federation and Area Association shall include in its rules the procedural regulations necessary to implement the Anti-Doping Rules and Anti-Doping Regulations effectively (and any changes that may be made to them). The rules of each Member Federation and Area Association shall specifically provide that all Athletes and other Persons under its jurisdiction shall be bound by the Anti-Doping Rules and Anti-Doping Regulations, including submitting to the results management authority set out in such rules.
- 1.6 These Anti-Doping Rules also apply to the following Athletes, Athlete Support Personnel and other Persons, each of whom is deemed, as a condition of their membership, accreditation and/or participation in the sport, to have agreed to be bound by these Anti-Doping Rules, and to have submitted to the authority of the Integrity Unit to enforce these Anti-Doping Rules:
  - a. all Athletes, Athlete Support Personnel and other Persons who are members of a Member Federation or of any member or affiliate organisation of a Member Federation (including any clubs, teams, associations or leagues);

- b. all Athletes, Athlete Support Personnel and other Persons participating in such capacity in Competitions and other activities organized, convened, authorized or recognized by (i) World Athletics (ii) any Member Federation or any member or affiliate organization of any Member Federation (including any clubs, teams, associations or leagues) or (iii) any Area Association, wherever held;
  - c. all Athlete Support Personnel and other Persons working with, treating or assisting an Athlete participating in their sporting capacity; and
  - d. any other Athlete, Athlete Support Person or other Person who, by virtue of an accreditation, licence or other contractual arrangement, or otherwise, is subject to the jurisdiction of World Athletics, of any Member Federation (or any member or affiliate organization of any Member Federation, including any clubs, teams, associations or leagues) or of any Area Association, for purposes of anti-doping.
- 1.7 All Athletes, Athlete Support Personnel and other Persons shall be responsible for knowing what constitutes an Anti-Doping Rule Violation under these Anti-Doping Rules and for knowing the substances and methods included on the Prohibited List.
- 1.8 Within the overall pool of Athletes set out above who are bound by and required to comply with these Anti-Doping Rules, each of the following Athletes shall be considered to be an International-Level Athlete ("**International-Level Athlete**") for the purposes of these Anti-Doping Rules and therefore the specific provisions in these Anti-Doping Rules applicable to International-Level Athletes shall apply to such Athletes:
- a. An Athlete who is in the International Registered Testing Pool;
  - b. An Athlete who is entered for or is competing in any of the following International Competitions:
    - (i) World Athletics Series Competitions;
    - (ii) The Athletics programme of the Olympic Games;
    - (iii) (Area Senior Championships (indoor and outdoor);
    - (iv) International Invitation Meetings in accordance with paragraph 1.5 of the International Competition definition;
    - (v) Permit Meetings;
    - (vi) Label Road Races (limited to those athletes with Gold, Silver and Bronze status as determined by World Athletics); and
    - (vii) such other International Competitions as shall be determined by the Integrity Unit;
  - c. Any other Athlete whose asserted Anti-Doping Rule Violation results from (i) Testing conducted under the Testing Authority of World Athletics; (ii) an investigation conducted by World Athletics or (iii) any

of the other circumstances in which World Athletics has results management authority under Rule 7.

The Integrity Unit shall publish the International Registered Testing Pool and the list of the International Competitions on its website.

- 1.9 The Integrity Unit shall make reasonable efforts to notify Athletes, Athlete Support Personnel and other Persons directly under these Anti-Doping Rules. However, any notice given under these Anti-Doping Rules to an Athlete, Athlete Support Person or other Person who is under the jurisdiction of a Member Federation may be accomplished by delivery of the notice to the Member Federation concerned. The Member Federation shall be responsible for making immediate contact with the Athlete, Athlete Support Person or other Person to whom the notice is applicable.
- 1.10 It is the responsibility of each Member Federation to ensure that all national-level In and Out-of-Competition Testing on its Athletes and the management of results from such Testing complies with the Anti-Doping Rules and Regulations. It is recognized that, in some Countries, the Member Federation will conduct the Testing and results management process itself whilst, in others, some or all of the Member Federation's responsibilities may be delegated or assigned (either by the Member Federation itself or under applicable national legislation or regulation) to a National Anti-Doping Organisation or other third party. In respect of these Countries, references in these Anti-Doping Rules to the Member or Member Federation (or its relevant officers) shall, where applicable, be a reference to the National Anti-Doping organization or other third party (or its relevant officers).
- 1.11 The Council may amend these Anti-Doping Rules from time to time upon recommendation of the Integrity Unit Board or following consultation with the Integrity Unit Board. Such amendments shall come into effect on the date specified by the Council.
- 1.12 The effective date of these Anti-Doping Rules is **1 April 2020** (the "**Effective Date**").

## **2. Anti-Doping Rule Violations**

The purpose of Rule 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.

Doping is defined as the occurrence of one or more of the following (each an "Anti-Doping Rule Violation"):

- 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 duty to ensure that no Prohibited Substance enters their 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 Rule 2.1.
  - 2.1.2 Sufficient proof of an Anti-Doping Rule Violation under Rule 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 analyzed; or, where the Athlete's B Sample is analyzed 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 Except for 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 Rule 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 their 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 Organization, 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 Rule 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 Rule 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, or Attempted violation of Rule 10.11.1 by another Person.

## 2.10 Prohibited Association

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

- a. if subject to the authority of an Anti-Doping Organization, is serving a period of Ineligibility; or
- b. if not subject to the authority of an Anti-Doping Organization, 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,
- c. is serving as a front or intermediary for an individual described in Rule 2.10.1(a) or 2.10.1(b).

- 2.10.2 For the avoidance of doubt, this Rule 2.10 applies even when the Athlete Support Personnel's disqualifying conduct occurred prior to the Effective Date. In order for this provision to apply, however, it is necessary that the Athlete or other Person has previously been advised in writing by an Anti-Doping Organization with jurisdiction over the Athlete or other Person, or by WADA, of the Athlete Support Personnel'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 Organization shall also use reasonable efforts to advise the Athlete Support Personnel 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 Organization to explain that the criteria described in Rules 2.10.1(a) and 2.10.1(b) do not apply to them.
- 2.10.3 The burden shall be on the Athlete or other Person to establish that any association with Athlete Support Personnel described in Rule 2.10.1(a) or 2.10.1(b) is not in a professional or sport-related capacity.
- 2.10.4 If the Integrity Unit or an Anti-Doping Organization becomes aware of Athlete Support Personnel who meet the criteria described in Rule 2.10.1(a), 2.10.1(b), or 2.10.1(c), they shall submit that information to WADA.

### **3. Proof of Doping**

#### **3.1 Burdens and Standards of Proof**

World Athletics or other Anti-Doping Organisations shall have the burden of establishing that an Anti-Doping Rule Violation has been committed. The standard of proof shall be whether World Athletics has established the commission of the alleged Anti-Doping Rule Violation to the comfortable satisfaction of the hearing panel, bearing in mind the seriousness of the allegation that 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 at hearings in doping cases under these Anti-Doping Rules:

- 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. WADA shall also have the right to intervene as a party, appear amicus curiae, or otherwise provide evidence in such

proceeding, provided it gives notice thereof within 10 days of its receipt of the CAS file.

- 3.2.2 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.
- 3.2.3 WADA-accredited laboratories, and other laboratories approved by WADA, are presumed to have conducted Sample analysis and custodial procedures in compliance 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 that could reasonably have caused the Adverse Analytical Finding. In such an event, World Athletics shall have the burden to establish that such departure did not cause the Adverse Analytical Finding.
- 3.2.4 Departures from any other International Standard, or other anti-doping rule or policy set out in the Code or these Anti-Doping Rules that did not cause the facts alleged or evidence cited in support of a charge (e.g., an Adverse Analytical Finding) shall not invalidate such facts or evidence. If the Athlete or other Person establishes the occurrence of a departure from an International Standard or other anti-doping rule or policy set out in the Code or these Anti-Doping Rules that could reasonably have caused the Adverse Analytical Finding or other facts alleged to constitute an Anti-Doping Rule Violation, then World Athletics or other Anti-Doping Organisation shall have the burden to establish that such departure did not cause such Adverse Analytical Finding or the factual basis for the Anti-Doping Rule Violation.
- 3.2.5 The facts established by a decision of a court or professional disciplinary tribunal of competent jurisdiction that 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 that Athlete or other Person establishes that the decision violated principles of natural justice.
- 3.2.6 A hearing panel in a hearing on an Anti-Doping Rule Violation may draw an inference adverse to the Athlete or other Person charged with an Anti-Doping Rule Violation based on the Athlete or other Person's refusal or **failure, 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 panel) and to answer questions from the hearing panel or other Anti-Doping Organisation asserting the Anti-Doping Rule Violation.

#### **4. The Prohibited List and TUEs**

##### **4.1 Incorporation of the Prohibited List**

- 4.1.1 These Anti-Doping Rules incorporate the Prohibited List, which is published and revised by WADA as described in **Article** 4.1 of the Code.
- 4.1.2 Unless provided otherwise in the Prohibited List and/or a revision to the Prohibited List, the Prohibited List and revisions shall go into effect under these Anti-Doping Rules 3 months after publication by WADA, without requiring any further action by World Athletics or its Member 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.

- 4.1.3 The Prohibited List shall be available from the Integrity Unit and shall be published on the Integrity Unit website. The Integrity Unit shall take reasonable steps to publish any amendments made by WADA to the Prohibited List.

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

### 4.2.1 Prohibited Substances and Prohibited Methods

The Prohibited List shall identify those Prohibited Substances and Prohibited Methods which are prohibited as doping at all times (both In-Competition and Out-of-Competition) because of their potential to enhance performance in future Competitions or their masking potential, and those substances and methods which are prohibited In-Competition only. The Prohibited List may be expanded by WADA for a particular sport. Prohibited Substances and Prohibited Methods may be included in the Prohibited List by general category (e.g., anabolic agents) or by specific reference to a particular substance or method.

### 4.2.2 Specified Substances

For purposes of the application of Rule 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.

### 4.2.3 New Classes of Prohibited Substances

In the event WADA expands the Prohibited List by adding a new class of Prohibited Substances in accordance with Rule 4.1, WADA's Executive Committee shall determine whether any or all Prohibited Substances within the new class of Prohibited Substances shall be considered Specified Substances under Rule 4.2.2.

## 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 ("TUEs")

- 4.4.1 In certain circumstances (set out in the International Standard for Therapeutic Use Exemptions), Athletes may be granted permission to Use

one or more Prohibited Substances or Methods for therapeutic purposes (a “Therapeutic Use Exemption” or “TUE”). 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 An Athlete who is an International-Level Athlete must apply for a TUE to World Athletics

- a. Where the Athlete already has a TUE granted by their **National Anti-Doping Organisation** for the substance or method in question, if that TUE meets the criteria set out in the International Standard for Therapeutic Use Exemptions, then World Athletics shall recognize it for purposes of International Competition as well. If World Athletics considers that the TUE does not meet those criteria and so refuses to recognize it, World Athletics shall notify the Athlete and their **National Anti-Doping Organisation** promptly, with reasons. The Athlete and the **National Anti-Doping Organisation** shall have 21 days from such notification to refer the matter to WADA for review in accordance with Rule 4.4.5. 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.
- b. If the Athlete does not already have a TUE granted by their **National Anti-Doping Organisation** for the substance or method in question, the Athlete must apply directly to World Athletics for a TUE in accordance with the process set out in the International Standard for Therapeutic Use Exemptions. If World Athletics denies the Athlete’s application, it must notify the Athlete promptly, with reasons. If World Athletics grants the Athlete’s application, it shall notify not only the Athlete but also their **National Anti-Doping Organisation**. If the **National Anti-Doping Organisation** considers that the TUE granted by World Athletics 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 Rule 4.4.5. If the **National Anti-Doping Organisation** refers the matter to WADA for review, the TUE granted by World Athletics 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 World Athletics becomes valid for national-level Competition as well when the 21-day review deadline expires.
- c. An application to World Athletics for the 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 Rule 4.3 of the International Standard for Therapeutic Use Exemptions applies), at

least thirty days before the Athlete's next Competition. Details of the procedure for the application can be found in the Anti-Doping Regulations. World Athletics shall appoint a panel to consider applications for the grant or recognition of TUEs (the "TUE Sub-Commission"). The TUE Sub-Commission shall promptly evaluate and decide upon the application in accordance with the procedure in the Anti-Doping Regulations. Its decision shall be the final decision of World Athletics and shall be reported to WADA and other relevant Anti-Doping Organisations, including the Athlete's Member Federation, through ADAMS.

- d. An Athlete should not assume that their application for grant or recognition of a TUE (or for renewal of a TUE) will be granted. Any Use or Possession or Administration of a Prohibited Substance or Prohibited Method before an application has been granted is entirely at the Athlete's own risk.
- e. The submission of false or misleadingly incomplete information in support of a TUE application (including but not limited to the failure to advise of the unsuccessful outcome of a prior application to another Anti-Doping Organization for such a TUE) may result in a charge of Tampering or Attempted Tampering under Rule 2.5.

#### 4.4.3 An Athlete who is not an International-Level Athlete must apply for a TUE at national level

- a. Athletes who are not International-Level Athletes must apply for a TUE from their **National Anti-Doping Organisation**. **National Anti-Doping Organisations** shall in all cases be responsible for reporting promptly the grant of any TUEs under this Rule to World Athletics and to WADA (through ADAMS or otherwise). If World Athletics chooses to test an Athlete who is not an International-Level Athlete, World Athletics shall recognise a TUE granted to that Athlete by their **National Anti-Doping Organisation**.
- b. If the Integrity Unit chooses to test an Athlete who is not an International-Level Athlete, the Integrity Unit shall recognize a TUE granted to that Athlete by their **National Anti-Doping Organisation**. If the Integrity Unit chooses to test an Athlete who is not an International-Level or a National-Level Athlete, the Integrity Unit may permit that Athlete to apply for a retroactive TUE for any Prohibited Substance or Prohibited Method that they are using for therapeutic reasons.

#### 4.4.4 Expiration, Cancellation, Withdrawal or Reversal of a TUE

- a. 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.

- b. In such event, the Athlete shall not be 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 Rule 7.3 of any subsequent Adverse Analytical Finding shall include consideration of whether such finding is consistent with Use of the Prohibited Substance or Prohibited Method prior to that date, in which event no shall be asserted.

#### 4.4.5 Reviews and Appeals of TUE Decisions

- a. WADA shall review any decision by World Athletics 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 Organization. In addition, WADA shall review any decision by World Athletics 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.
- b. Any TUE decision by World Athletics (or by a National Anti-Doping Organisation where it has agreed to consider the application on behalf of World Athletics) 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 Organization exclusively to CAS, in accordance with Rule 13.
- c. A decision by WADA to reverse a TUE decision may be appealed by the Athlete, the National Anti-Doping Organisation and/or World Athletics exclusively to CAS, in accordance with Rule 13.
- d. 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 under these Anti-Doping Rules shall only be undertaken for anti-doping purposes.

- 5.1.1 Testing shall be 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 the Integrity Unit shall be in conformity with the International Standard for Testing and Investigations and the TDDSA. The Integrity Unit shall determine the number of finishing placement tests, random tests and target tests to be performed, in accordance with the criteria established by the International Standard for Testing and Investigations and the TDSSA.

All provisions of the International Standard for Testing and Investigations shall apply automatically in respect of all such Testing.

#### 5.1.2 Investigations shall be undertaken:

- a. in relation to Atypical Findings and Adverse Passport Findings, in accordance with Rules 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 Rule 2.1 and/or Rule 2.2;
- b. in relation to Whereabouts Failures, in accordance with Rule 7.6, 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 Rules 2.4; and
- c. in relation to other indications of potential anti-doping rule violations, 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 Rules 2.2 to 2.10.

## 5.2 Scope of Testing

5.2.1 Any Athlete who has not retired, including any Athlete serving a period of Ineligibility, may be required to provide a Sample at any time and at any place by the Integrity Unit or any Anti-Doping Organisation with Testing authority over them.

Subject to the jurisdictional limitations for Competition Testing set out in **Article** 5.3 of the Code:

- a. World Athletics shall have In-Competition and Out-of-Competition Testing authority over all of the Athletes specified in the Introduction to these Anti-Doping Rules;
- b. each National Anti-Doping Organisation shall have In-Competition and Out-of-Competition Testing authority over all Athletes who are nationals, residents, licence-holders or members of the sport organisations of that country or who are present in that National Anti-Doping Organisation's country;
- c. each Major Event Organisation, including the IOC, shall have In-Competition Testing authority for its Competitions and Out-Of-Competition Testing Authority over all Athletes entered in one of its future Competitions or who have otherwise been made subject to the Testing authority of the Major Event Organisation for a future Competition;
- d. WADA shall have In-Competition and Out-of-Competition Testing authority as set out in **Article** 20 of the Code;
- e. If the Integrity Unit delegates or contracts any part of Testing to a National Anti-Doping Organization (directly or through a Member Federation), that National Anti-Doping Organization may collect additional Samples or direct the laboratory to perform additional

types of analysis at the National Anti-Doping Organization's expense. If additional Samples are collected or additional types of analysis are performed, the Integrity Unit shall be notified of such, including notification of the results.

### 5.3 Test Distribution Planning

5.3.1 Consistent with the International Standard for Testing and Investigations, and in coordination with other Anti-Doping Organizations conducting Testing on the same Athletes, the Integrity Unit shall 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 and the TDSSA. The Integrity Unit shall provide WADA upon request with a copy of World Athletics' current Test Distribution Plan.

5.3.2 In finalising the Test Distribution Plan, the Integrity Unit shall have regard to the level of Testing that is already being conducted at national level by the Member Federation and/or by the relevant National Anti-Doping Organisation or third party Testing authority.

5.3.3 Where reasonably feasible, Testing under these Anti-Doping Rules shall 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.

5.3.4 All completed Test results conducted by the Integrity Unit and at national level shall be reported through the WADA clearinghouse in order to avoid any unnecessary duplication in Testing.

### 5.4 Applicable Testing Requirements

5.4.1 All Testing conducted by the Integrity Unit and Member Federations (and/or by the relevant National Anti-Doping Organisation or third party Testing authority) shall be **in full** conformity with these Anti-Doping Rules and the Anti-Doping Regulations in force at the time of Testing.

5.4.2 The Anti-Doping Regulations may be amended by the Council from time to time (including upon amendment of the relevant International Standard or Technical Document by WADA). The current version of the Anti-Doping Regulations shall be available on the Integrity Unit website.

### 5.5 Testing at Competitions

5.5.1 Except as provided in **Article** 5.3 of the Code, only a single organization should be responsible for initiating and directing Testing at Competition Venues during a Competition Period. At the following International Competitions, the collection of Samples shall be initiated and directed by World Athletics:

- a. World Athletics Series Competitions;

- b. International Invitation Meetings in accordance with paragraph 1.1.5 of the International Competition definition;
- c. Permit Meetings;
- d. Label Road Races; and
- e. at such other International Competitions as the Integrity Unit may determine.

At the request of the Integrity Unit (or any other international organization which is the ruling body for a Competition), any Testing during the Competition Period outside of the Competition Venues shall be coordinated with the Integrity Unit (or the relevant ruling body of the Competition).

- 5.5.2 If an Anti-Doping Organization which would otherwise have Testing authority but is not responsible for initiating and directing Testing at a Competition desires to conduct Testing of Athletes at the Competition Venues during the Competition Period, the Anti-Doping Organization shall first confer with World Athletics (or any other international organization which is the ruling body of the Competition) to obtain permission to conduct and coordinate such Testing. If the Anti-Doping Organization is not satisfied with the response from World Athletics (or any other international organization which is the ruling body of the Competition), the Anti-Doping Organization 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 World Athletics (or any other international organization which is the ruling body for the Competition). 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 Organization initiating the test unless provided otherwise in the rules of the ruling body of the Competition.

- 5.5.3 **At National Competitions, the collection of Samples shall be initiated and directed by the National Anti-Doping Organization of that country. The Integrity Unit may conduct Testing during a National Competition Period, including at the Competition Venues, in coordination and agreement with the National Anti-Doping Organisation or, if there is no National Anti-Doping Organisation in the country concerned, in coordination and agreement with the ruling body for the National Competition. At the request of the ruling body for a National Competition, any Testing during the National Competition Period outside of the Competition Venues shall be coordinated with that ruling body.**

## 5.6 Supervision of Competition Testing

- 5.6.1 The Integrity Unit may appoint a delegate to attend at any of the International Competitions under Rule 5.5.1 for the purpose of ensuring that these Anti-Doping Rules and the Anti-Doping Regulations are properly

applied. The local organising committees of such Competitions shall do everything necessary to authorise and facilitate World Athletics delegate's attendance at such Competitions.

- 5.6.2 World Athletics and the local organising committees for World Athletics Series Competitions, as well as the Member Federations and the local organising committees for National Competitions, shall authorise and facilitate the Independent Observer Programme at such Competitions.

## 5.7 Athlete Whereabouts Information

- 5.7.1 The Integrity Unit shall identify an International Registered Testing Pool of those Athletes who are required to comply with the whereabouts requirements of Appendix A of the Anti-Doping Regulations, and shall 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. The Integrity Unit shall coordinate with National Anti-Doping Organizations the identification of such Athletes and the collection of their whereabouts information. The Integrity Unit shall review and update as necessary the criteria for including Athletes in the International Registered Testing Pool, and shall revise the membership of the International Registered Testing Pool from time to time as appropriate in accordance with the set criteria. Athletes shall be notified before they are included in the International Registered Testing Pool and when they are removed from that pool. Each Athlete in the International Registered Testing Pool shall do the following, in each case in accordance with Appendix A of the Anti-Doping Regulations: (a) advise the Integrity Unit of their whereabouts on a quarterly basis; (b) update that information as necessary so that it remains accurate and complete at all times; and (c) make themselves available for Testing at such whereabouts.
- 5.7.2 For purposes of Rule 2.4, an Athlete's failure to comply with the requirements of Appendix A of the Anti-Doping Regulations 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.
- 5.7.3 An Athlete in the International Registered Testing Pool shall continue to be subject to the obligation to comply with the whereabouts requirements of Appendix A of the Anti-Doping Regulations unless and until (a) the Athlete gives written notice to World Athletics that they have retired or (b) World Athletics has informed them that they no longer satisfy the criteria for inclusion in the International Registered Testing Pool.
- 5.7.4 Whereabouts information relating to an Athlete shall be shared (through ADAMS) with WADA and other Anti-Doping Organizations having authority to test that Athlete, shall be maintained in strict confidence at all times, shall be used exclusively for the purposes set out in **Article** 5.6 of the Code, and shall be destroyed in accordance with the International Standard for the Protection of Privacy and Athlete Information once it is no longer relevant for these purposes.
- 5.7.5 It is the duty of every Member Federation, officer of a Member Federation and other Person under the jurisdiction of a Member Federation to assist



the Integrity Unit (and, where applicable, WADA or other competent Testing authority) in the conduct of Testing under these Anti-Doping Rules. Any Member Federation, officer of a Member Federation or other Person under the jurisdiction of a Member Federation preventing, hindering, obstructing or otherwise Tampering with the conduct of such Testing may result in a charge of Tampering or Attempted Tampering under Rule 2.5.

5.7.6 The Integrity Unit shall report to WADA in respect of any difficulties encountered with respect to whereabouts information or Testing in a Country.

## 5.8 Retired Athletes Returning to Competition

5.8.1 An Athlete in the International Registered Testing Pool who has given notice of retirement to the Integrity Unit may not resume competing in International Competitions or National Competitions until they have given the Integrity Unit written notice of their intent to resume competing and has made themselves 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 the Integrity Unit and the Athlete's National Anti-Doping Organization, 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 Rule 13.** Any competitive results obtained in violation of this Rule 5.8.1 shall be Disqualified.

5.8.2 If an Athlete retires from sport while subject to a period of Ineligibility, the Athlete shall not resume competing in International Competitions or National Competitions 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 the Integrity Unit and to their National Anti-Doping Organization of their intent to resume competing and has made themselves 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.

## 5.9 Monitoring of Testing at National Level

The Integrity Unit may monitor the Testing conducted at national level, including but not limited to the In and Out-of-Competition Testing conducted in a Country by the Member Federation and/or by the relevant National Anti-Doping Organisation or third party Testing authority. If the Integrity Unit considers that the In and/or Out-of-Competition Testing conducted at national level is insufficient or inadequate, either having regard to the success of the Member Federation's Athletes in International Competitions or for any other reason, World Athletics may require the Member Federation to take such action as it considers to be necessary in order to ensure a satisfactory level of Testing in the Country concerned. A failure by a Member Federation to comply with World Athletics' decision may result in the imposition of sanctions under Rule 16.

## 5.10 Investigations and Intelligence Gathering

- 5.10.1 In addition to conducting Testing in accordance with Rule 5 above, the Integrity Unit shall have the power to gather anti-doping intelligence and conduct investigations in accordance with the requirements of the Code and the International Standard for Testing and Investigations into matters that may evidence or lead to the discovery of evidence of an Anti-Doping Rule Violation. Such investigations may be conducted in conjunction with, and/or information obtained in such investigations may be shared with, other Signatories and/or relevant authorities. The Integrity Unit shall have discretion, where it deems it appropriate, to stay its own investigation pending the outcome of investigations being conducted by other Signatories and/or other relevant authorities.
- 5.10.2 Where an Athlete or other Person knows or suspects that any other Athlete or other Person has committed an Anti-Doping Rule Violation, it shall be the obligation of the first Athlete or other Person to report such knowledge or suspicion to the Integrity Unit as soon as possible. The first Athlete or other Person shall have a continuing obligation to report any new knowledge or suspicion regarding any Anti-Doping Rule Violation to the Integrity Unit even if their prior knowledge or suspicion has already been reported. In cases of refusal or failure to comply with any of the foregoing without acceptable justification, Rule 12 shall apply.
- 5.10.3 Athletes and other Persons must co-operate fully with investigations conducted pursuant to this Rule 5 (and in cases of refusal or failure to do so without compelling justification, Rule 12 shall apply).
- 5.10.4 The Head of the Integrity Unit may at any stage (including after the Notice of Charge) make a written demand (Demand) to an Athlete or other Person to provide the Integrity Unit with any information, record, article or thing in their possession or control that the Head of the Integrity Unit reasonably believes may evidence or lead to the discovery of evidence of an Anti-Doping Rule Violation.
- 5.10.5 Without limiting the foregoing, pursuant to Rule 5.10.4, the Head of the Integrity Unit may require an Athlete or other Person to:
- a. attend before the Integrity Unit for an interview, or to answer any question, or to provide a written statement setting out their knowledge of any relevant facts and circumstances;
  - b. provide (or procure to the best of their ability the provision by any third party) for inspection, copying and/or downloading any records or files in hardcopy or electronic format, that the Head of the Integrity Unit reasonably believes may contain relevant information (such as itemised telephone bills, bank statements, ledgers, notes, files, correspondence, emails, messages, servers);
  - c. provide (or procure to the best of their ability the provision by any third party) for inspection, copying and/or downloading any electronic storage device in which the Head of the Integrity Unit reasonably believes relevant information may be stored (such as cloud based servers, computers, hard drives, tapes, disks, mobile telephones, laptop computers, tablets and other mobile storage devices);

- d. provide full and unlimited access to their premises for the purpose of securing information, records, articles or things the subject of a Demand;
  - e. provide passwords, login credentials and other identifying information required to access electronically stored records that are the subject of a Demand.
- 5.10.6 Subject to Rule 5.10.7, an Athlete or other Person must comply with a Demand in such reasonable period of time as determined by the Head of the Integrity Unit and set out in the Demand. Each Athlete or other Person waives and forfeits any rights, defences and privileges provided by any law in any jurisdiction to withhold any information, record, article or thing requested in a Demand.
- 5.10.7 Where a Demand relates to any information, record, article or thing that the Head of the Integrity Unit reasonably believes is capable of being damaged, altered, destroyed or hidden (any electronic storage device or electronically stored information shall be deemed to meet this criterion), then for the purposes of preserving the evidence, the Integrity Unit may require an Athlete or other Person to comply immediately with the Demand. In such a case:
- a. the Athlete or other Person must immediately comply with the Demand and permit the Integrity Unit to take immediate possession of, copy and/or download the information, record, article or thing. However, the Integrity Unit may take no steps to inspect or use the same other than as provided in Rule 5.10.7(d);
  - b. in case of a refusal or failure by an Athlete or other Person to comply immediately with the Demand, the consequences in Rule 12 shall apply and any attempted or actual damage, alteration, destruction or hiding of such information, record, article or thing upon receipt of or after the Demand shall constitute an independent violation of Rule 2.5 (Tampering or Attempted Tampering);
  - c. the Athlete or other Person has 7 days from receipt of the Demand to file an objection to the Demand by requesting a review by the chairperson of the Disciplinary Tribunal or their delegate in accordance with Rule 7.8;
  - d. if the Athlete or other Person does not file an objection within 7 days of receipt of the Demand (or files an objection and the chairperson of the Disciplinary Tribunal or their delegate subsequently finds there is a reasonable belief basis to the Demand), or notifies the Integrity Unit that they do not object to the Demand, the Integrity Unit may forthwith inspect the information, record, article or thing and otherwise make use of it in accordance with these Rules.
- 5.10.8 Any information, record, article or thing provided to the Integrity Unit under this Rule will be kept confidential except when it becomes necessary to disclose such information, record, article or thing to further the investigation of and/or to bring, or as part of, proceedings relating to an Anti-Doping Rule Violation, or when such information, record, article or thing is reported to administrative, professional or judicial authorities

pursuant to an investigation or prosecution of non-sporting laws or regulations, or is otherwise required by law.

- 5.10.9 If an Athlete or other Person obstructs or delays an investigation (e.g., by providing false, misleading or incomplete information or documentation and/or by tampering or destroying any documentation or other information that may be relevant to the investigation), proceedings may be brought against them for violation of Rule 2.5 (Tampering or Attempted Tampering).
- 5.10.10 **A hearing panel in a hearing on an Anti-Doping Rule Violation may draw an inference adverse to the Athlete or other Person charged with an Anti-Doping Rule Violation based on the Athlete or other Person's refusal or failure to respond to a Demand or other questions put to them as part of a Rule 5 investigation.**
- 5.10.11 The Head of the Integrity Unit may at any time require a Member Federation (i) to investigate a possible violation of these Anti-Doping Rules by one or more Athlete or other Person under the Member Federation's jurisdiction (where appropriate, acting in conjunction with the National Anti-Doping Organisation in the Country concerned and/or other relevant national authority or body) and (ii) to provide a written report on such investigation within a reasonable time period as stipulated by the Head of the Integrity Unit. There shall be an automatic investigation conducted by a Member Federation (and a written report of the investigation provided to the Integrity Unit) of Athlete Support Personnel under the Member Federation's jurisdiction in the case of any anti-doping rule violation committed by a Minor or where any Athlete Support Personnel has provided support to more than one Athlete found to have committed an anti-doping rule violation. A failure or refusal by a Member Federation to conduct an investigation under this Rule or to produce a written report on such investigation within a reasonable time period as stipulated by the Integrity Unit may lead to the imposition of sanctions on the Member Federation in accordance with Rule 16.
- 5.10.12 Where during the course of an Investigation, the Integrity Unit identifies any additional Athlete or Person whom it considers should be investigated for a potential Anti-Doping Rule Violation, the investigation may be expanded to deal with their respective involvement.
- 5.10.13 Where, as a result of an investigation under this Rule 5, the Head of the Integrity Unit forms the view that an Athlete or other Person has a case to answer for commission of an Anti-Doping Rule Violation, the matter shall proceed in accordance with Rule 7.7.

## 6. Analysis of Samples

### 6.1 Purpose of Analysis of Samples

Samples may be analysed under these Anti-Doping Rules (i) to detect Prohibited Substances and Prohibited Methods on the Prohibited List and/or for evidence of the Use of Prohibited Substances or Prohibited Methods; (ii) to assist the Integrity Unit in profiling relevant parameters in an Athlete's urine, blood or other matrix, including for DNA or genomic profiling; and/or (iii) for any other legitimate for anti-doping purpose. Relevant profile information may be used to direct Target Testing or to support an

Anti-Doping Rule Violation under Rule 2.1, or both. Samples may be collected and stored for future analysis.

## 6.2 Use of Accredited and Approved Laboratories

6.2.1 For the purposes of Rule 2.1 (Presence of a Prohibited Substance or Prohibited Method), Samples shall be analysed only in WADA-accredited laboratories or laboratories otherwise approved by WADA. In the case of Samples collected by the Integrity Unit pursuant to Rule 5.5.1, the Integrity Unit shall send Samples only to WADA-accredited or WADA approved laboratories (or, where applicable, to haematological laboratories or mobile testing units) which have been approved by the Integrity Unit.

Violations of Rule 2.1 may be established only by Sample analysis performed by a laboratory accredited or otherwise approved by WADA. Violations of other Rules may be established using analytical results from other laboratories so long as the results are reliable.

6.2.2 For the purposes of screening a blood (or other non-urine) Sample to determine whether the Player's corresponding urine Sample should be analysed as set out at Rule 6.2.1, the Integrity Unit may send Samples either to laboratories that have been accredited or approved by WADA or to any other entity approved by WADA (e.g., a local hospital or a mobile testing unit).

6.2.3 For the purposes of ABP Testing, the Integrity Unit may send Samples to a laboratory or laboratories that has/have been accredited or otherwise approved by WADA or to the satellite facility of a WADA-accredited laboratory or using mobile units operated under applicable ISO accreditation by a WADA-accredited laboratory.

6.2.4 Subject to the foregoing provisions of this Rule 6.2, the laboratory or laboratories or other facility or facilities used for the analysis of Samples collected under these Rules shall be chosen exclusively by the Integrity Unit.

## 6.3 Ownership of Samples and Restrictions on Use of Samples

6.3.1 All Samples (and related data) collected under the Testing Authority of World Athletics shall be the property of World Athletics and the Integrity Unit shall be entitled to determine all matters regarding the analysis and disposal of such Samples.

6.3.2 No Sample may be used for research without the Athlete's written consent. Samples used (with the Athlete's consent) for purposes other than Rule 6.2 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. The Integrity Unit may request that laboratories analyse Samples using more extensive menus than provided in the Technical Document under the International Standard for Testing and Investigations.

## 6.5 Further Analysis of Samples

6.5.1 The Integrity Unit may at any stage require a Sample to be subjected to further analysis and may rely on the results of such further analysis when deciding whether a Sample has given rise to an Adverse Analytical Finding or may evidence another anti-doping rule violation.

6.5.2 A Sample collected by the Integrity Unit may be stored and subject to further analysis for the purpose of Rule 6.1 at any time exclusively at the direction of World Athletics or WADA (with the consent of World Athletics). All other Samples collected in Athletics may be re-analysed exclusively at the direction of the Testing Authority or World Athletics (with the consent of the Testing Authority) or WADA. The circumstances and conditions for re-testing Samples shall conform with the requirements of the International Standard for Laboratories and the International Standard for Testing and Investigations.

## 7. Results Management

7.1 Except as provided for in Rule 7.2 below, results management and hearings shall be the responsibility of, and shall be governed by, the procedural rules of the Member Federation or Anti-Doping Organisation that initiated and directed Sample collection (or, if no Sample collection is involved, the Member Federation or Anti-Doping Organisation which first provides notice to an Athlete or other Person of an asserted Anti-Doping Rule Violation and then diligently pursues that Anti-Doping Rule Violation).

7.2 The Integrity Unit shall have results management responsibility under these Anti-Doping Rules in the following circumstances:

7.2.1 For potential violations arising in connection with any Testing conducted under these Anti-Doping Rules by the Integrity Unit, including investigations conducted by the Integrity Unit against Athlete Support Personnel or other Persons potentially involved in such violations.

7.2.2 For **reviews** conducted by the Integrity Unit in accordance with Rules 7.3, 7.4 and 7.5 where World Athletics is the Testing Authority or has been delegated results management authority.

7.2.3 For potential violations arising in connection with any investigation conducted in accordance with Rule 5.

**7.2.4 For potential violation of these Anti-Doping Rules where no Testing is involved and where the potential violation involves:**

- a. Any International-Level Athlete, Athlete Support Person or other Person who has an involvement in any capacity in International Competitions or with International-Level Athletes; or
- b. Where World Athletics is the Anti-Doping Organisation which first provides notice to an Athlete or other Person of an asserted Anti-Doping Rule Violation and then diligently pursues that violation.

7.2.5 Where a National Anti-Doping Organisation elects to collect additional Samples pursuant to Rule 5.2.1, then it shall be considered the Anti-

Doping Organisation that initiated and directed Sample collection and shall have results management responsibility over such additional Samples. Where however the National Anti-Doping Organisation only directs the laboratory to perform additional types of analysis at the National Anti-Doping Organisation's expense, then the Integrity Unit shall have results management responsibility.

- 7.2.6 Results management in relation to a potential violation of Rule 2.4 (a Filing Failure or a Missed Test) shall be administered by the Integrity Unit if the Athlete in question files their whereabouts information with the Integrity Unit. Any Anti-Doping Organisation that determines a Filing Failure or Missed Test shall submit that information to WADA through ADAMS or another system approved by WADA, where it will be made available to other relevant Anti-Doping Organisations.
- 7.2.7 The Integrity Unit shall additionally have default results management responsibility in the following further cases:
- a. In circumstances where a Member Federation or National Anti-Doping Organisation does not have authority under any applicable rule over an Athlete or other Person subject to these Anti-Doping Rules, or the Member Federation or National Anti-Doping Organisation fails or declines to exercise such **authority**.
  - b. Results management and the conduct of hearings for Testing conducted by WADA on its own initiative, or an Anti-Doping Rule Violation discovered by WADA, shall be conducted by the Anti-Doping Organisation directed by WADA.
  - c. Results management and the conduct of hearings for Testing conducted by the IOC or another Major Event Organisation, or an Anti-Doping Rule Violation discovered by one of those organisations, shall be referred to the Integrity Unit in relation to Consequences beyond exclusion from the International Competition in question, Disqualification of results in that Competition, forfeiture of any medals, points or prizes from the Competition, or recovery of costs applicable to the Anti-Doping Rule Violation.
- 7.2.8 Where a Member Federation or an Anti-Doping Organisation claims to have results management responsibility under applicable rules in any of the circumstances set out in Rule 7.2 above, the Integrity Unit may at its absolute discretion agree to the Member Federation or Anti-Doping Organisation concerned conducting results management and a hearing in the case in accordance with Rule 8.10. If a dispute arises between World Athletics and a Member Federation or an Anti-Doping Organisation over which organisation has results management responsibility under this Rule 7, WADA shall decide which organisation has such responsibility. WADA's decision may be appealed to CAS within seven days of notification of the WADA decision by any of the Anti-Doping Organisations involved in the dispute. The appeal shall be dealt with by CAS in an expedited manner and shall be heard before a single arbitrator.
- 7.2.9 In any case where the Integrity Unit has results management responsibility under Rule 7.2 (including default results management responsibility), it may direct that the results management and**

**hearing process be conducted by the Athlete or other Person's Member Federation or National Anti-Doping Organisation.**

7.2.10 Regardless of which organisation conducts results management and hearings, the principles set out in this Rule 7 and Rule 8 shall be respected.

7.3 Review of Adverse Analytical Findings

7.3.1 Upon receipt of an Adverse Analytical Finding in relation to an A Sample, the Integrity Unit shall 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 Adverse Analytical Finding.

7.3.2 If the review of an Adverse Analytical Finding under Rule 7.3.1 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, Athlete's Member Federation, the Athlete's National Anti-Doping Organization and WADA shall be so informed.

7.3.3 If the review of an Adverse Analytical Finding under Rule 7.3.1 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, the Integrity Unit shall promptly notify the Athlete, and simultaneously the Athlete's Member Federation, the Athlete's National Anti-Doping Organization and WADA, in the manner set out in Rule 14.1, of:

- a. the Adverse Analytical Finding;
- b. the Anti-Doping Rule violated;
- c. any Provisional Suspension to be imposed by the Integrity Unit or that may be accepted voluntarily by the Athlete;
- d. the time limit within which the Athlete is to provide the Integrity Unit with an explanation for the Adverse Analytical Finding;
- e. **the time within which the Athlete is to provide the Integrity Unit with any written submission showing cause why a Provisional Suspension should not be imposed (or, where it has been imposed, why it should be lifted);**
- f. 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;
- g. the scheduled date, time and place for the B Sample analysis if the Athlete or the Integrity Unit chooses to request an analysis of the B



Sample (or of the fact that the date, time and place for the B Sample analysis, if requested by the Athlete, shall be agreed at a later date);

- h. 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 (at the Athlete's cost) if such analysis is requested; and
- i. the Athlete's right to request copies of the A and B Sample laboratory documentation packages (at the Athlete's cost) which includes information as required by the International Standard for Laboratories.

7.3.4 The Athlete and/or their representative shall be allowed to be present at the B Sample analysis and to attend throughout the analysis being carried out. A representative of the Athlete's Member Federation may also be present and attend throughout, as may a representative of the Integrity Unit. An Athlete shall remain Provisionally Suspended despite the fact that they have requested analysis of the B Sample.

7.3.5 If an Athlete fails to exercise their right to the B Sample analysis, the Integrity Unit may nonetheless request the analysis of a B Sample at any time if it believes that such analysis will be relevant to consideration of the Athlete's case.

7.3.6 If the Integrity Unit decides not to bring forward the Adverse Analytical Finding as an Anti-Doping Rule Violation, it shall so notify the Athlete, the Athlete's Member Federation, the Athlete's National Anti-Doping Organization and WADA and any other Anti-Doping Organisation with the right to appeal that decision under Rule 13.

#### 7.4 Review of Atypical Findings

7.4.1 As provided in the International Standard for Laboratories, in certain circumstances, laboratories are directed to report the presence of Prohibited Substances which may also be produced endogenously, as Atypical Findings subject to further investigation.

7.4.2 Upon receipt of an Atypical Finding, the Integrity Unit shall conduct a review to determine whether (a) the Atypical Finding is consistent with an applicable TUE that has been granted or will be granted or recognised under these Anti-Doping Rules or (b) there is any apparent departure from the Anti-Doping Regulations or International Standard for Laboratories that caused the Atypical Finding.

7.4.3 If the review does not reveal an applicable TUE or departure that caused the Atypical Finding, the Integrity Unit shall conduct the investigation required.

7.4.4 After the investigation is completed, the Athlete and other Anti-Doping Organisations identified in Rule 14.1.2 shall be notified whether or not the Atypical Finding will be brought forward as an Adverse Analytical Finding. If the Atypical Finding is to be brought forward as an Adverse Analytical Finding, the Athlete shall be notified as in Rule 7.3.3.

7.4.5 The Integrity Unit will not provide notice of an Atypical Finding until it has completed its investigation and decided whether the Integrity Unit will bring the Atypical Finding forward unless one of the following circumstances exists:

- a. if the Head of the Integrity Unit determines the B Sample should be analysed prior to the conclusion of their investigation under Rule 7.4, the Integrity Unit may conduct the B Sample analysis after notifying the Athlete, with such notice to include a description of the Atypical Finding and the information where applicable described in Rule 7.3.3 above;
- b. if the Integrity Unit receives a request, either from a Major Event Organisation shortly before one of its International Competitions or a request from a sports body responsible for meeting an imminent deadline for selecting team members for an international competition, to disclose whether any Athlete identified on a list provided by the Major Event Organisation or sports body has a pending Atypical Finding, the Integrity Unit shall so identify any such Athlete after first providing notice of the Atypical Finding to the Athlete.

#### 7.5 Review of Adverse Passport Findings

Results management in respect of the Athlete Biological Passport programme of the Integrity Unit shall be conducted in accordance with the procedures set out in the Anti-Doping Regulations. At such time as the Integrity Unit is satisfied that an Anti-Doping Rule Violation has been committed, it shall send the Athlete a Notice of Charge in accordance with Rule 8. Other Anti-Doping Organisations shall be notified as provided in Rule 14.1.2.

#### 7.6 Review of Whereabouts Failures

Results management in respect of a Whereabouts Failure (Filing Failure or Missed Test) by an Athlete in the International Registered Testing Pool shall be conducted by the Integrity Unit in accordance with the procedures set out in the Anti-Doping Regulations. At such time as the Integrity Unit is satisfied that an Anti-Doping Rule Violation has been committed, it shall send the Athlete a Notice of Charge in accordance with Rule 8. Other Anti-Doping Organisations shall be notified as provided in Rule 14.1.2.

#### 7.7 Review of Potential Anti-Doping Rule Violations that involve evidence other than Adverse Analytical Findings, Atypical Findings, Adverse Passport Findings or Whereabouts Failures

7.7.1 Where a matter involves evidence of a potential Anti-Doping Rule Violation other than an Adverse Analytical Finding, an Atypical Finding, an Adverse Passport Finding or a Whereabouts Failure, the Head of the Integrity Unit shall conduct such follow up investigation as may be required. In each case following completion of the investigation, the Head of the Integrity Unit shall decide, subject to the prior approval of the Integrity Unit Board, whether there is a case to answer under Rule 2 and, if so, whether the Athlete or other Person should be Provisionally Suspended pending resolution of the case.

- 7.7.2 Where the decision is that there is a case to answer under Rule 2, the Head of the Integrity Unit shall send the Athlete a Notice of Charge in accordance with Rule 8.
- 7.7.3 Where the decision is that there is no case to answer under Rule 2, then the Head of the Integrity Unit shall notify WADA, the Athlete's National Anti-Doping Organisation and any other Anti-Doping Organisation with a right of appeal under Rule 13 and (subject to the rights of appeal set out at Rule 13.2) that the matter shall not proceed any further.
- 7.8 Review of Demands
- 7.8.1 An Athlete or other Person may object to a Demand made under Rule 5.10.4 by filing an application with the chairperson of the Disciplinary Tribunal within 7 days of receipt of the Demand specifying the grounds for such objection. Where such an application is made, subject always to Rule 5.10.7, the time for complying with a Demand shall be stayed pending the outcome of the objection.
- 7.8.2 The chairperson of the Disciplinary Tribunal or their delegate (who shall in all cases either be the deputy chairperson or another member of the Disciplinary Tribunal) shall consider the objection to the Demand with as much expediency as the justice of the matter permits and, unless exceptional circumstances apply, such review shall be conducted by way of written evidence and submissions only. In considering the Demand, the chairperson of the Disciplinary Tribunal or their delegate shall have the discretion but not the obligation to invite submissions from the Integrity Unit and the Athlete or other Person, as they see fit.
- 7.8.3 Where the chairperson of the Disciplinary Tribunal or their delegate determines that there is no reasonable belief basis to the Demand, then the Integrity Unit shall not pursue the Demand with the Athlete or other Person and the information, record, article or thing and any copy or download of the same shall either be immediately returned to the Athlete or other Person or destroyed, as the case requires.
- 7.8.4 Where the chairperson of the Disciplinary Tribunal or their delegate determines that there is a reasonable belief basis to the Demand, then if the Athlete or other Person fails to produce the information, record, article or thing and any copy or download of the same, the consequences in Rule 12 apply.
- 7.8.5 The ruling of the chairperson of the Disciplinary Tribunal or their delegate as to whether there is a reasonable belief basis to a Demand shall not be subject to appeal.
- 7.8.6 If a Demand is set aside, it shall not preclude the Integrity Unit from making any other Demand in relation to the same or another investigation.
- 7.9 Results Management from a Test conducted by **or on behalf of** the IOC or other Major Event Organisation
- The results management process from a test conducted by **or on behalf of** the IOC or any other Major Event Organisation (e.g. the Commonwealth Games or the Pan American Games) shall be managed, as far as determining an Athlete's sanction

beyond Disqualification from the International Competition in question, by the Integrity Unit in accordance with these Anti-Doping Rules. Upon request, the IOC or other Major Event Organisation **(or their delegate)** shall provide the Integrity Unit with a copy of the full case file within 15 days.

## 7.10 Principles applicable to Provisional Suspensions

**7.10.1 Mandatory Provisional Suspensions:** When an Adverse Analytical Finding is reported for a Prohibited Substance or a Prohibited Method, other than a Specified Substance, the Integrity Unit shall promptly impose a Provisional Suspension upon the review and notification described in Rule 7.3 above. **In all such cases, the Athlete shall be given an opportunity for a Provisional Hearing either (at the election of the Integrity Unit) before imposition of the Provisional Suspension or on a timely basis after imposition of the Provisional Suspension.** A mandatory Provisional Suspension may be eliminated if the Athlete demonstrates that the violation is likely to have involved a Contaminated Product. **A decision not to eliminate a mandatory Provisional Suspension on account of the Athlete's assertion regarding a Contaminated Product shall not be appealable.**

**7.10.2 Discretionary Provisional Suspensions in the case of an Adverse Analytical Finding for a Specified Substance, Contaminated Product or other Anti-Doping Rule Violations:** Where an Adverse Analytical Finding is reported for a Specified Substance, **Contaminated Product or in the case of other Anti-Doping Rule Violations not covered by Rule 7.10.1,** the Integrity Unit may Provisionally Suspend the Athlete **or other Person** pending resolution of their case. **Provided, however, that a Provisional Suspension may not be imposed unless the Athlete or other Person is given an opportunity for a Provisional Hearing either (at the election of the Integrity Unit) before imposition of the Provisional Suspension or on a timely basis after imposition of the Provisional Suspension.**

**7.10.3 Notice of a Provisional Suspension:** Notice of a Provisional Suspension may be included by the Integrity Unit in the notification under Rule 7 or otherwise provided simultaneously with or upon the Integrity Unit sending an Athlete or other Person a Notice of Charge in accordance with Rule 8. The Provisional Suspension shall take effect as from the day indicated in the written notice to the Athlete or other Person.

**7.10.4 Provisional Hearing:** **Where a Provisional Suspension has been imposed (or may be imposed) in accordance with this Rule 7, the Athlete or other Person may make a written submission to the Integrity Unit showing cause why the Provisional Suspension should be lifted (or, where it has not yet been imposed, should not be imposed) by establishing that:**

- a. the Anti-Doping Rule Violation has no reasonable prospect of being upheld, e.g., due to a serious flaw in the case such as the Integrity Unit has no jurisdiction over the Athlete or other Person; or**
- b. there is a strong arguable case that the circumstances are such that no period of Ineligibility is likely to be imposed; or**

- c. **the Anti-Doping Rule Violation is likely to have involved a Contaminated Product; or**
- d. **other facts exist that make it clearly unfair, in all the circumstances of the case, to impose a Provisional Suspension prior to determination of the Anti-Doping Rule Violation(s). 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 competing or participating in a particular Competition shall not qualify as exceptional circumstances for these purposes.**

**7.10.5 Appeal against a Provisional Suspension: Where the Integrity Unit imposes (or does not lift) a Provisional Suspension after a Provisional Hearing, the Athlete or other Person has a right to appeal the decision to CAS in accordance with Rule 13 (save that there will be no right to appeal a decision not to eliminate a Provisional Suspension on account of the Athlete's assertion that the violation is likely to have involved a Contaminated Product), provided however that the Provisional Suspension shall remain in effect pending a decision by CAS on the merits of the appeal. For the avoidance of doubt, an appeal to CAS against a Provisional Suspension (or a decision not to lift a Provisional Suspension) shall not stay, delay or otherwise prevent the matter from proceeding to a hearing before the Disciplinary Tribunal in accordance with Rule 8.**

**7.10.6 Acceptance of a Provisional Suspension:** 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, the Athlete or other Person shall be offered the opportunity to accept a Provisional Suspension voluntarily pending the resolution of the matter. No admission shall be inferred or other adverse inference drawn from the decision of an Athlete or other Person to accept a voluntary Provisional Suspension. In any case where a Member Federation imposes a Provisional Suspension, or an Athlete accepts a voluntary suspension, the Member Federation shall confirm this fact to the Integrity Unit immediately. A voluntary suspension shall be effective only from the date of receipt of the Athlete's written confirmation of such by the Integrity Unit.

**7.10.7 A Member Federation's Failure to impose of a Provisional Suspension:** If a Member Federation fails, in the opinion of the Head of the Integrity Unit, to impose a Provisional Suspension as required, the Head of the Integrity Unit shall themselves impose such a Provisional Suspension. Once the Provisional Suspension is imposed by the Head of the Integrity Unit, it shall notify the suspension to the Member Federation.

**7.10.8** If a Provisional Suspension is imposed (or voluntarily accepted) based on an A Sample Adverse Analytical Finding and a subsequent B Sample analysis 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 Rule 2.1 (Presence of a Prohibited Substance or its Metabolites or Markers). In circumstances where the Athlete (or the Athlete's team as may be) has been removed from a Competition based on a violation of Rule 2.1 and the subsequent B Sample does not confirm the A Sample

finding, if, without otherwise affecting the Competition, it is still possible for the Athlete or team to be reinserted, the Athlete or team may continue to take part in the Competition.

- 7.11 **Identification of Prior Anti-Doping Rule Violations:** Before sending an Athlete or other Person a Notice of Charge in accordance with Rule 8 below, the Integrity Unit shall refer to ADAMS and, if need be, contact WADA and other relevant Anti-Doping Organisations to determine whether any prior Anti-Doping Rule Violation exists.
- 7.12 **Notification of Results Management Decisions:** In all cases where the commission of an Anti-Doping Rule Violation is asserted, the assertion of an Anti-Doping Rule Violation is withdrawn, a Provisional Suspension is imposed, a voluntary suspension is accepted or an Athlete has agreed to the imposition of a sanction without a hearing, notice shall be given to other Anti-Doping Organisations with a right of appeal under Rule 13.
- 7.13 **Retirement from Sport:** If an Athlete retires while a results management process is underway, the Integrity Unit retains jurisdiction to complete its results management process. If an Athlete or other Person retires before any results management process has begun, the Integrity Unit retains authority to conduct results management if it would have had results management authority over the Athlete or other Person at the time the Athlete or other Person committed the asserted Anti-Doping Rule Violation.

## 8. Hearing Process

- 8.1 World Athletics has established a Disciplinary Tribunal which shall have jurisdiction over all matters in which:
- a. An Anti-Doping Rule Violation is asserted by the Integrity Unit against an International-Level Athlete or Athlete Support Person in accordance with these Anti-Doping Rules;
  - b. An Anti-Doping Rule Violation is asserted by a Member Federation or other Anti-Doping Organisation under its rules and all parties agree to submit the matter to the Disciplinary Tribunal with the agreement of the Integrity Unit;
  - c. The Integrity Unit elects to have the case referred directly to the Disciplinary Tribunal based on the failure by another organisation (including a Member Federation) to initiate or diligently pursue a hearing process or where the Integrity Unit otherwise finds it appropriate to do so for a fair hearing process to be granted;
  - d. An Athlete or other Person objects to a Demand in accordance with Rules 5.10.7 and 7.8.
- 8.2 When, following the results management or investigation process described in Rule 7, an Anti-Doping Rule Violation is asserted, the Athlete or other Person shall be notified in accordance with Rule 8.4.2.
- 8.3 In all other cases where an Anti-Doping Rule Violation is asserted, the Athlete or other Person's hearing shall take place before the relevant tribunal constituted or otherwise authorised by the Member Federation. Where a Member Federation delegates the conduct of a hearing to a body, committee or tribunal (whether within or outside the Member Federation), or where for any other reason, any national body, committee or tribunal outside of the Member Federation is responsible for affording

an Athlete their hearing under these Rules, the decision of that body, committee or tribunal shall be deemed, for the purposes of Rule 13, to be the decision of the Member Federation.

#### 8.4 Proceedings before the Disciplinary Tribunal

8.4.1 When the Integrity Unit decides that an International-Level Athlete or Athlete Support Person has a case to answer under Rule 2, the Head of the Integrity Unit will send a written notice (the "Notice of Charge") to the Athlete or Athlete Support Person subject to the charge, with copies to the Chairperson of the Disciplinary Tribunal and to the Anti-Doping Organisations set out in Rule 14.1.2.

8.4.2 The Notice of Charge will set out:

- a. the Anti-Doping Rule Violation(s) alleged to have been committed, including the specific Rule(s) of these Anti-Doping Rules alleged to have been infringed, a summary of the facts upon which such allegations are based (and if the charge has resulted from an Adverse Analytical Finding, a copy of the A Sample laboratory documentation pack supporting that Adverse Analytical Finding, unless the Athlete has not requested it or it has already been provided to the Athlete with the notification under Rule 7.3.3), and any other information required by the International Standard for Testing and Investigations;
- b. the Consequences applicable under the Anti-Doping Rules if it is determined that the alleged Anti-Doping Rule Violation has been committed;
- c. (where applicable) the matters relating to Provisional Suspension specified at Rule 7.10; and
- d. the Athlete or other Person's entitlement to respond to the Notice of Charge in accordance with Rules 8.4.3 and 8.4.4.

8.4.3 The Athlete or other Person may respond to the Notice of Charge in one of the following ways:

- a. admit the Anti-Doping Rule Violation(s) charged and accede to the Consequences specified in the Notice of Charge;
- b. admit the Anti-Doping Rule Violation(s) charged but dispute and/or seek to mitigate the Consequences specified in the Notice of Charge, and to have the Disciplinary Tribunal determine the Consequences at a hearing conducted in accordance with Rule 8;
- c. deny the Anti-Doping Rule Violation(s) charged and have the Disciplinary Tribunal determine the charge and (if the charge is upheld) any Consequences, at a hearing conducted in accordance with this Rule 8.

8.4.4 If the Athlete or Athlete Support Person wishes to exercise their right to a hearing before the Disciplinary Tribunal, they must submit a written request for such a hearing so that it is received by the Integrity Unit, with a

copy to the Disciplinary Tribunal, as soon as possible, but in any event within 10 days of the Athlete or other Person's receipt of the Notice. The request must also state how the Athlete or other Person responds to the charge in the Notice and must explain (in summary form) the basis for such response.

8.4.5 In the event that the Athlete or Athlete Support Person does not respond to the Notice of Charge by the specified deadline, the Athlete or Athlete Support Person will be deemed to have waived their right to request a hearing and to have admitted the Anti-Doping Rule Violation(s) charged, and to have acceded to the Consequences specified in the Notice of Charge, and, in such event, the Integrity Unit shall promptly issue a decision in accordance with Rule 8.4.7.

8.4.6 In the Notice of Charge, or at any other time prior to the determination of the charge by the Disciplinary Tribunal, the Integrity Unit may invite the Athlete or Athlete Support Person to admit the Anti-Doping Rule Violation(s) charged and accede to specified Consequences.

8.4.7 In the event that the Integrity Unit withdraws the Notice of Charge, or the Athlete or Athlete Support Person admits the Anti-Doping Rule Violation(s) charged and accedes to the Consequences specified by the Integrity Unit (or is deemed to have done so), a hearing before the Disciplinary Tribunal shall not be required. In such a case, the Integrity Unit:

- a. shall promptly issue a decision confirming (as applicable) its withdrawal of the Notice of Charge or the commission of the Anti-Doping Rule Violation(s) and the imposition of the specified Consequences (including, if applicable, a justification for why the maximum potential sanction was not imposed);
- b. shall Publicly Report that decision in accordance with Rule 14;
- c. shall send a copy of the decision to the Athlete or other Person and to any other party that has a right, further to Rule 13, to appeal the decision (and any such party may, within 15 days of receipt, request a copy of the full case file pertaining to the decision).

## 8.5 Appointment of the Panel

8.5.1 On receipt of a request for a hearing from an Athlete or Athlete Support Person in accordance with Rule 8.4.4, the Chairperson of the Disciplinary Tribunal shall appoint one (1) or three (3) members of the Disciplinary Tribunal to hear and decide the alleged violation(s) set out in the Notice of Charge. One of the members will ordinarily be the Chairperson or the Deputy Chairperson of the Disciplinary Tribunal.

8.5.2 No member of the Disciplinary Tribunal may be on the Panel in any case if he:

- a. has any personal connection or interest (whether directly or indirectly) with any of the parties or witnesses; or
- b. has had any prior involvement with any matter or any facts arising in the proceedings (save as provided for in these Rules including a



review of a Demand or a decision to impose a Provisional Suspension in which some or all of the same facts are relevant); or,

- c. is of the same nationality as a party involved in a proceedings (unless their appointment is agreed by the Chairperson or is agreed by the parties); or
- d. their impartiality or independence could be seriously questioned (as determined by the Chairperson).

8.5.3 Upon being appointed to a Panel of the Disciplinary Tribunal for a particular matter, each member must provide a declaration to the parties, disclosing any facts or circumstances known to them that might call into question their impartiality or independence in the matter in the eyes of any of the parties. If any such facts or circumstances arise thereafter, the member must provide an updated declaration to the parties.

8.5.4 Any objection to a member of a Panel must be made to the Chairperson of the Disciplinary Tribunal without delay, and in any event within 7 days of:

- a. receipt of the written declaration referred to in Rule 8.5.3; or
- b. learning by any other means (including any subsequent means) of the facts or circumstances giving rise to the objection.

Failure to raise an objection will constitute a waiver of that objection. The Chairperson of the Disciplinary Tribunal (or Deputy Chairperson as applicable) will rule on any objection made, and their decision will be final and there shall be no right of appeal.

8.5.5 If a member of a Panel is, for whatever reason, unable, unwilling or unfit to hear or continue to hear, and decide a proceeding, the Chairperson of the Disciplinary Tribunal (or Deputy Chairperson as applicable) may, in their absolute discretion:

- a. appoint another member of the Disciplinary Tribunal to replace them in that proceeding or
- b. authorise the remaining member(s) of the Panel to hear and decide the proceeding alone, in which case, if the decision cannot be reached unanimously or by majority then the Chairperson of the Disciplinary Tribunal shall have a casting vote.

## 8.6 Powers of the Disciplinary Tribunal

8.6.1 The Disciplinary Tribunal, and any Panel of the Disciplinary Tribunal, shall have all powers necessary for, and incidental to, the discharge of its responsibilities, including (without limitation) the power, whether on the application of a party or of its own motion:

- a. to rule on its own jurisdiction;
- b. to appoint an independent expert to assist or advise it on specific issues, with the costs of such expert to be borne as directed by the Disciplinary Tribunal;

- c. to expedite or to adjourn, postpone or suspend its proceedings, upon such terms as it will determine, where fairness so requires;
- d. to extend or abbreviate any time limit specified in any Rules or by the Disciplinary Tribunal itself, save for any limitations period or appeal deadline;
- e. to order any party to make any property, document or other thing in its possession or under its control available for inspection by the Disciplinary Tribunal and/or any other party;
- f. to allow one or more third parties to intervene or be joined in the proceedings, to make all appropriate procedural directions in relation to such intervention or joinder, and thereafter to make a single final decision or separate decisions in respect of all parties;
- g. to order that certain preliminary and/or potentially dispositive questions (e.g. as to jurisdiction, or as to whether a condition precedent has been met) be heard and determined in advance of any other issues in the matter;
- h. to award interim relief or other conservatory measures on a provisional basis and subject to final determination;
- i. to make any other procedural direction or take any other procedural steps which the Disciplinary Tribunal considers to be appropriate in pursuit of the efficient and proportionate management of any Proceeding or matter pending before it; and
- j. to impose costs orders.

8.6.2 Any procedural rulings may be made by the Chairperson of the Disciplinary Tribunal or the Chair of a Panel alone.

## 8.7 Preliminary Meeting with the Chair of the Panel

8.7.1 If the Athlete or Athlete Support Person charged exercises their right to a hearing, the Chair of the Panel shall convene a preliminary meeting with the Integrity Unit and its legal representatives, and with the Athlete or Athlete Support Person and/or their legal representatives (if any). The meeting may be held by telephone conference call. The non-attendance of the Athlete or Athlete Support Person or their representative at the meeting, after proper notice of the meeting has been provided, shall not prevent the Chair of the Panel from proceeding with the meeting in the Athlete or Athlete Support Person's absence, whether or not any written submissions are made on the Athlete or Athlete Support Person's behalf.

8.7.2 The purpose of the preliminary meeting shall be to allow the Chair of the Panel to address any pre-hearing issues. In particular (but without limitation), the Chair shall:

- a. consider any request by either party that the Chair hear the matter sitting alone;

- b. consider any request by either party that the case be consolidated for hearing with any other pending case(s);
- c. determine the date(s) (which must be at least 21 days after the meeting, unless the parties consent to a shorter period) upon which the hearing shall be held. Subject to the foregoing, the hearing shall be commenced as soon as practicable after the Notice of Charge is sent, and ordinarily within 45 days of the date that the Athlete or other Person requests a hearing. It shall be completed expeditiously;
- d. establish dates reasonably in advance of the date of the hearing at which:
  - (i) the Integrity Unit shall submit a brief with argument on all issues that World Athletics wishes to raise at the hearing and written witness statements from each fact and/or expert witness that the Integrity Unit intends to call at the hearing, setting out the evidence that World Athletics wishes the Disciplinary Tribunal to hear from the witness, and enclosing copies of the documents that the Integrity Unit intends to introduce at the hearing;
  - (ii) the Athlete or Athlete Support Person shall submit an answer brief, addressing World Athletics' arguments and setting out argument on the issues that the Athlete or Athlete Support Person wishes to raise at the hearing, as well as written witness statements from the Athlete or Athlete Support Person and from each other witness (fact and/or expert) that the Athlete or Athlete Support Person intends to call at the hearing, setting out the evidence that the Athlete or Athlete Support Person wishes the Disciplinary Tribunal to hear from the witness, and enclosing copies of the documents that the Athlete or Athlete Support Person intends to introduce at the hearing; and
  - (iii) the Integrity Unit may submit a reply brief, responding to the Athlete or Athlete Support Person's answer brief and producing any rebuttal witness statements and/or documents; and
- e. make such order as the Chair shall deem appropriate in relation to the production of relevant documents and/or other materials between the parties; provided that save for good cause shown, no documents and/or other materials shall be ordered to be produced in relation to any Adverse Analytical Finding beyond the documents that the International Standard for Laboratories requires to be included in the laboratory documentation pack.

## 8.8 Conduct of Hearings before the Disciplinary Tribunal

- 8.8.1 Subject to the discretion of the Chairperson of the Disciplinary Tribunal to order otherwise for good cause shown by either party, hearings before the Disciplinary Tribunal shall (a) take place in London or Monaco; and (b) be conducted on a confidential basis.

- 8.8.2 Each of the Integrity Unit and the Athlete or Athlete Support Person has the right to be present and to be heard at the hearing. Each of the Integrity Unit and the Athlete or Athlete Support Person also has the right (at their own expense) to be represented at the hearing by legal counsel of their own choosing.
- 8.8.3 Subject strictly to Rule 3.2.5, the Athlete or Athlete Support Person may choose not to appear in person at the hearing, but rather to provide a written submission for consideration by the Panel, in which case the Panel shall consider the submission in its deliberations. However, the non-attendance of the Athlete or Athlete Support Person or their representative at the hearing, after proper notice of the hearing has been provided, shall not prevent the Panel from proceeding with the hearing in their absence, whether or not any written submissions are made on their behalf.
- 8.8.4 The procedure followed at the hearing shall be at the discretion of the Panel, provided that the hearing is conducted in a fair manner with a reasonable opportunity for each party to present evidence (including the right to call and to question witnesses), address the Panel and present their case.
- 8.8.5 The Panel shall not be bound by judicial rules governing the admissibility of evidence. Instead, facts relating to an Anti-Doping Rule Violation may be established by any reliable means, including admissions. The Panel shall apply the burdens and standards of proof and the methods of establishing facts and presumptions as described in Rule 3 of these Anti-Doping Rules.
- 8.8.6 Save where the Panel orders otherwise for good cause shown by either party, the hearing shall be in English or French, and certified translations shall be submitted of any non-English or non-French documents (as applicable) put before the Panel. The cost of the translation shall be borne by the party offering the document(s) unless otherwise ordered by the Panel. If required by the Panel, the Integrity Unit shall make arrangements to have the hearing recorded or transcribed. If requested by the Athlete or Athlete Support Person, the Integrity Unit shall also arrange for a translator to attend the hearing to translate oral questions and/or answers. The costs of such transcription and translation shall be paid by the Integrity Unit unless otherwise ordered by the Panel.
- 8.9 Decisions of the Disciplinary Tribunal
- 8.9.1 Once the parties have completed their respective submissions, the Panel shall retire to deliberate as to whether an Anti-Doping Rule Violation has been committed and (if so) what the Consequences should be. Where Rule 10 specifies a range of possible sanctions for the Anti-Doping Rule Violation found to have been committed, the Panel shall also fix the sanction within that range for the case at hand, after considering any submissions on the subject that the parties may wish to make.
- 8.9.2 The Panel shall not make any verbal announcement of the decision but instead shall issue its decision in writing within 14 days after the conclusion of the hearing (or where, exceptionally, that deadline cannot be met, as soon thereafter as possible). Such decision will be sent to the parties and (subject strictly to the confidentiality provisions of Rule 14.1.5)

to WADA and to any other party that has a right to appeal the decision pursuant to Rule 13 (and any such party may, within 15 days of receipt, request a copy of the full case file pertaining to the decision).

The decision shall set out and explain:

- a. with reasons, the Panel's findings as to whether any Anti-Doping Rule Violation(s) has/have been committed;
- b. with reasons, the Panel's findings as to what Consequences, if any, are (or are not) to be imposed, including (if applicable) a justification for why the maximum potential sanction was not imposed;
- c. with reasons, the date that such Consequences shall come into force and effect pursuant to Rule 10.10; and
- d. the rights of appeal applicable pursuant to Rule 13.

8.9.3 The Disciplinary Tribunal has the power to make a costs order against any party, where it is proportionate to do so. If it does not exercise that power, each party shall bear its own costs, legal, expert and otherwise. No recovery of costs may be considered a basis for reducing the period of Ineligibility or other sanction that would otherwise be applicable.

#### 8.10 Proceedings other than before the Disciplinary Tribunal

8.10.1 Where an Anti-Doping Rule Violation is asserted against an Athlete or other Person, they shall be told at the same time of their right to request a hearing. The hearing process shall provide at a minimum for a fair hearing within a reasonable time by a fair and impartial hearing panel. A timely reasoned decision specifically including an explanation of the reason(s) for any period of Ineligibility shall be Publicly Disclosed as provided in Rule 14 below.

8.10.2 If the Athlete or other Person fails to confirm in writing to their Member Federation or other relevant body within 10 days of such notice that they wish to have a hearing, they will be deemed to have waived their right to a hearing and to have accepted that they committed the Anti-Doping Rule Violation in question. That fact shall be confirmed in writing to the Integrity Unit by the Member Federation within five working days.

8.10.3 If a hearing is requested by the Athlete or other Person, it shall be convened without delay and the hearing completed within 60 days of the date of notification of the Athlete or other Person's request to the Member Federation. Member Federations shall keep the Integrity Unit fully informed as to the status of all cases pending hearing and of all hearing dates as soon as they are fixed. World Athletics is not a party to the case but the Integrity Unit shall have the right to attend all hearings as an observer. However, the Integrity Unit's attendance at a hearing, or any other involvement in a case, shall not affect World Athletics' right to appeal the Member Federation's decision to CAS pursuant to Rule 13.

8.10.4 If the Member Federation fails to complete a hearing within 60 days, or, if, having completed a hearing, fails to render a decision within a reasonable time period thereafter, the Integrity Unit may impose a deadline for such

event. If in either case the deadline is not met, the Integrity Unit may elect to have the case referred directly to the Disciplinary Tribunal for a hearing conducted in accordance with these Anti-Doping Rules. The hearing shall proceed at the responsibility and expense of the Member Federation and the decision of the Disciplinary Tribunal shall be subject to appeal to CAS in accordance with Rule 13. A failure by a Member Federation to hold a hearing for an Athlete within 60 days may further result in the imposition of a sanction under Rule 16.

8.10.5 The Member Federation shall notify the Integrity Unit of the relevant tribunal's decision in writing, within five working days of the decision being made. The decision shall be sent to the Integrity Unit in either English or French. The decision shall set out and explain, with reasons, the relevant tribunal's findings (i) as to whether any Anti-Doping Rule Violation has been committed and (ii) what Consequences, if any, are to be imposed. The decision shall provide (if applicable) a justification for why the maximum potential sanction was not imposed. Upon request from the Integrity Unit, the Member Federation shall provide a copy of the full case file within 15 days.

8.10.6 The Athlete or other Person may elect to forego a hearing by acknowledging in writing a violation of these Anti-Doping Rules and accepting Consequences consistent with Rule 10. Where an Athlete or other Person accepts Consequences consistent with Rule 10 and no hearing occurs, the Member Federation shall nevertheless ratify the Athlete or other Person's acceptance of Consequences by a decision of its relevant body and send a copy of such decision to the Integrity Unit within five working days of the decision being made. A decision by a Member Federation arising from an Athlete's acceptance of Consequences under these Anti-Doping Rules may be appealed in accordance with Rule 13.

## 8.11 Single Hearing Before CAS

Charges asserting Anti-Doping Rule Violations may be heard directly by CAS, with no requirement for a prior hearing, if the Athlete or other Person, World Athletics, WADA, and any other Anti-Doping Organisation that would have had a right to appeal the first instance decision to CAS, all consent.

## 9. Automatic Disqualification of Individual Results

9.1 An Anti-Doping Rule Violation in connection with an In-Competition test automatically leads to Disqualification of the Athlete's individual results obtained in that Event, with all resulting consequences, including forfeiture of any medals, titles, awards, points and prize and appearance money. In addition, further results obtained by the Athlete in other Events may be Disqualified, in accordance with Rule 10.1 (same Competition) and/or Rule 10.8 (subsequent Competitions).

## 10. Further Sanctions for Individuals

10.1 Disqualification of Individual Results in the Competition During or in Connection with which an Anti-Doping Rule Violation Occurs

10.1.1 Subject to Rule 10.1.2, an Anti-Doping Rule Violation occurring during or in connection with a Competition shall lead to Disqualification of all the Athlete's individual results obtained in that Competition, with all resulting

consequences for the Athlete, including forfeiture of any medals, titles, awards, points and prize and appearance money.

- 10.1.2 If the Athlete establishes that they bear No Fault or Negligence for the Anti-Doping Rule Violation, the Athlete's individual results obtained in other Events shall not be Disqualified unless the Integrity Unit establishes that the Athlete's results in the other Event(s) were likely to have been affected by their 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 imposed for an Anti-Doping Rule Violation under Rule 2.1, 2.2 or 2.6 that is the Athlete or other Person's first anti-doping offence shall be as follows, subject to potential reduction or suspension pursuant to Rule 10.4, 10.5 or 10.6:

- 10.2.1 The period of Ineligibility shall be four years where:
- a. The Anti-Doping Rule Violation does not involve a Specified Substance, unless the Athlete or other Person establishes that the Anti-Doping Rule Violation was not intentional.
  - b. The Anti-Doping Rule Violation involves a Specified Substance and the Integrity Unit establishes that the Anti-Doping Rule Violation was intentional.

- 10.2.2 If Rule 10.2.1 does not apply, the period of Ineligibility shall be two years.

- 10.2.3 As used in Rules 10.2 and 10.3, the term "intentional" is meant to identify those Athletes or other Persons who cheat. The term, therefore, requires that the Athlete or other Person engaged in conduct that they 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 that is only prohibited In-Competition (a) shall be rebuttably presumed to be not "intentional" if the substance is a Specified Substance and the Athlete can establish that it was Used Out-of-Competition; and (b) shall not be considered "intentional" if the Substance is not a Specified Substance and the Athlete can establish that it 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 imposed for Anti-Doping Rule Violations under provisions other than Rules 2.1, 2.2 and 2.6 shall be as follows, unless Rule 10.5 or 10.6 is applicable:

- 10.3.1 For an Anti-Doping Rule Violation under Rule 2.3 or Rule 2.5 that is the Athlete or other Person's first anti-doping offence, the period of Ineligibility imposed shall be four years unless, in a 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 Rule 10.2.3), in which case the period of Ineligibility shall be two years.

- 10.3.2 For an Anti-Doping Rule Violation under Rule 2.4 that is the Athlete's first anti-doping offence, the period of Ineligibility imposed 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 Rule 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 an Anti-Doping Rule Violation under Rule 2.7 or Rule 2.8 that is the Athlete or other Person's first offence, the period of Ineligibility imposed shall be a minimum of four years up to lifetime Ineligibility, depending on the seriousness of the violation. A Rule 2.7 or Rule 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 such Athlete Support Personnel. In addition, significant violations of Rule 2.7 or 2.8 that may also violate non-sporting laws and regulations shall be reported to the competent administrative, professional or judicial authorities.
- 10.3.4 For an Anti-Doping Rule Violation under Rule 2.9 that is the Athlete or other Person's first offence, 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 an Anti-Doping Rule Violation under Rule 2.10 that is the first offence of the Athlete or other Person, the period of Ineligibility shall be two years, subject to reduction down to a minimum of one year, depending on the degree of Fault of the Athlete or other Person 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 they bear 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 an Anti-Doping Rule Violation under Rule 2.1, 2.2 or 2.6:
- a. 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 degree of Fault of the Athlete or other Person.
  - b. 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 degree of Fault of the Athlete or other Person.

10.5.2 Application of No Significant Fault or Negligence beyond the Application of Rule 10.5.1:

In an individual case where Rule 10.5.1 is not applicable, if an Athlete or other Person establishes that they bear No Significant Fault or Negligence, then (subject to further reduction or elimination as provided in Rule 10.6) the otherwise applicable period of Ineligibility may be reduced based on the degree of Fault of the Athlete or other Person, 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 Rule may be no less than eight years.

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

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

- a. The Head of the Integrity Unit may, prior to a final appellate decision under Rule 13 or the expiration of the time to appeal, suspend a part of the period of Ineligibility imposed in any individual case in which it has results management authority where the Athlete or other Person has provided Substantial Assistance to World Athletics or other Anti-Doping Organisation, a criminal authority or a professional disciplinary body that results in (i) the Integrity Unit or other Anti-Doping Organisation discovering or bringing forward an Anti-Doping Rule Violation by another Person, or (ii) a criminal authority or disciplinary body discovering or bringing forward a criminal offence or the breach of professional rules committed by another Person and the information provided by the Athlete or other Person providing Substantial Assistance is made available to the Integrity Unit. If the Head of the Integrity Unit's decision to suspend a part of the period of Ineligibility and/or other Consequences is made after a final appellate decision under Rule 13 or the expiration of time to appeal, then WADA's approval is required for such suspension. 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 Rule 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 Integrity Unit shall reinstate the original period of Ineligibility. If the Integrity Unit 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 Athlete entitled to appeal under Rule 13.

- b. To further encourage Athletes and other Persons to provide Substantial Assistance to Anti-Doping Organisations, at the request of the Integrity Unit 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 Rule 13, 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 Rule, 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 Rule. Notwithstanding Rule 13, WADA's decisions in the context of this Rule may not be appealed by any other Anti-Doping Organisation.
- c. If the Head of the Integrity Unit 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 Rule 13 **as provided in Rule 14**. In unique circumstances where WADA determines that it would be in the best interest of anti-doping, WADA may authorise World Athletics 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 either (a) notification of a Sample collection that could establish the Anti-Doping Rule Violation (in the case of an Anti-Doping Rule Violation under Rule 2.1), or (b) a Notice of Charge (in the case of any other Anti-Doping Rule Violation), and that admission is the only reliable evidence of the offence at the time of the admission, then the otherwise applicable period of Ineligibility may be reduced, but not by more than 50%.

#### 10.6.3 Prompt Admission of an Anti-Doping Rule Violation after being confronted with a Violation sanctionable under Rule 10.2.1 or Rule 10.3.1

An Athlete or other Person potentially subject to a four-year sanction under Rule 10.2.1 or 10.3.1 (for evading or refusing Sample Collection or Tampering with Sample Collection) 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, by promptly admitting the asserted Anti-Doping Rule Violation after being confronted with it, upon the approval and at the discretion of WADA and the Integrity Unit.

#### 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 Rule 10.4, 10.5 or 10.6, before applying any reduction or suspension under Rule 10.6, the otherwise applicable period of Ineligibility shall be determined in accordance with Rules 10.2, 10.3, 10.4, and 10.5. If the Athlete or other Person establishes entitlement to a reduction or suspension of the period of Ineligibility under Rule 10.6, 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 Anti-Doping Rule Violation that is the second anti-doping offence of the Athlete or other Person, 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 offence without taking into account any reduction under Rule 10.6; or
- c. twice the period of Ineligibility that would be applicable to the second Anti-Doping Rule Violation if it were a first Anti-Doping Rule Violation, without taking into account any reduction under Rule 10.6.

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

10.7.2 An Anti-Doping Rule Violation that is the third anti-doping offence of the Athlete or other Person will always result in a lifetime period of Ineligibility, unless it fulfils the conditions for elimination or reduction of the period of Ineligibility under Rule 10.4 or 10.5, or involves a violation of Rule 2.4, in which case the period of Ineligibility shall be from eight years to lifetime Ineligibility.

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

10.7.4 Additional Rules for Certain Potential Multiple Offences:

- a. For purposes of imposing sanctions under Rule 10.7, an Anti-Doping Rule Violation will only be considered a second Anti-Doping Rule Violation if the Integrity Unit 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 Rule 7**, or after the Integrity Unit made a reasonable attempt to give notice, of the first alleged Anti-Doping Rule Violation. If the Integrity Unit cannot establish this, the Anti-Doping Rule Violations shall be considered together as one single Anti-Doping Rule Violation for sanctioning purposes, and the sanction imposed shall be based on the Anti-Doping Rule Violation that carries the more severe sanction.
- b. If, after the imposition of a sanction for a first Anti-Doping Rule Violation, World Athletics discovers a second Anti-Doping Rule Violation by the same Athlete or other Person that occurred prior to

notification of the first Anti-Doping Rule Violation, then an additional sanction shall be imposed based on the sanction that could have been imposed if the two Anti-Doping Rule Violations had been adjudicated at the same time. Results in all Competitions dating back to the earlier Anti-Doping Rule Violation will be subject to Disqualification in accordance with Rule 10.8.

10.7.5 Multiple Anti-Doping Rule Violations during a Ten-Year Period:

Any prior Anti-Doping Rule Violation shall only be taken into account for purposes of Rule 10.7 if it took place within ten years of the Anti-Doping Rule Violation under consideration.

10.7.6 For the avoidance of doubt, where an Athlete or other Person is found to have committed **a second or third** Anti-Doping Rule Violation **during a period of Ineligibility**, the Ineligibility periods for the separate offences shall run sequentially, not concurrently.

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, pursuant to Rule 9, of the results in the Competition that produced the Adverse Analytical Finding (if any), all other competitive results of the Athlete obtained from the date the Sample in question was collected (whether In-Competition or Out-of-Competition) or other Anti-Doping Rule Violation occurred through to the start of any Provisional Suspension or Ineligibility period shall be Disqualified (with all of the resulting consequences, including forfeiture of any medals, titles, ranking points and prize and appearance money), unless the Disciplinary Tribunal determines that fairness requires otherwise.

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; second, reallocation of forfeited prize money to other Athletes; and, third, reimbursement of the Integrity Unit's expenses in relation to its results management in the case. For the avoidance of doubt, there shall be no reallocation of forfeited prize money to other Athletes if the forfeited prize money has not been repaid by the forfeiting Athlete.

10.10 Commencement of Ineligibility and other Consequences

Any Consequences imposed under this Programme shall come into force and effect on the date that the decision imposing the Consequences is issued, save that:

10.10.1 The Integrity Unit shall have absolute discretion, and in addition the Panel shall have discretion where fairness requires, to establish an instalment plan for repayment of any prize money forfeited pursuant to Rules 9 and/or 10 of these Anti-Doping Rules and/or for payment of any costs awarded. For the avoidance of doubt, the schedule of payments pursuant to such plan may extend beyond any period of Ineligibility imposed upon the Athlete, provided however that, in accordance with Rule 10.12.2, default in payment under such plan shall automatically trigger a further period of Ineligibility until such default is cured.

10.10.2 The period of Ineligibility shall start on the date that the decision is issued provided that:

- a. any period of Provisional Suspension served by the Athlete or other Person (whether imposed in accordance with Rule 7.10 or voluntarily accepted by the Athlete or other Person in accordance with Rule 7.10.6) shall be credited against the total period of Ineligibility to be served. To get credit for any period of voluntary Provisional Suspension, however, the Athlete or other Person must have given written notice at the beginning of such period to the Integrity Unit, in a form acceptable to the Integrity Unit (and the Integrity Unit shall provide a copy of that notice promptly to every other Person entitled to receive notice of a potential Anti-Doping Rule Violation by that Athlete or other Person under Rule 14.1.2) and must have respected the Provisional Suspension in full. 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 the Athlete or other Person's status during such period. 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 that may ultimately be imposed on appeal;
- b. where the Athlete or other Person promptly (which for an Athlete means, in any event, before they compete again) admits the Anti-Doping Rule Violation after being confronted with it by the Integrity Unit, the period of Ineligibility subsequently imposed on them may be back-dated so that it is deemed to have commenced as far back as the date of last occurrence of the Anti-Doping Rule Violation (which, in the case of an Rule 2.1 Anti-Doping Rule Violation, would be on the date of Sample collection). However, this discretion to back-date is subject to the following limit: the Athlete or other Person must actually serve at least one-half of the period of Ineligibility, i.e., the commencement date of that period of Ineligibility cannot be back-dated such that they actually serve less than one-half of that period. This Rule 10.10.2(b) shall not apply where the period of Ineligibility has already been reduced under Rule 10.6.3; and
- c. 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 period of Ineligibility may be deemed to have started at an earlier date, commencing as early as the date the Anti-Doping Rule Violation last occurred (e.g., under Rule 2.1, the date of Sample collection). All competitive results achieved during the period of Ineligibility, including retroactive Ineligibility, shall be Disqualified.

10.11 Status During Ineligibility

10.11.1 Prohibition Against Participation During Ineligibility:

- a. No Athlete or other Person who has been declared Ineligible may, during the period of Ineligibility, compete or otherwise participate in any capacity in (or, if the Athlete is an Athlete Support Person, assist any Athlete competing or otherwise participating in any capacity in):

- (i) any International Competition;
  - (ii) any other Competition or Event or activity (other than authorised anti-doping education or rehabilitation programmes) authorised, organised or sanctioned by World Athletics, any National Association or member of a National Association, or any Area Association, or any Signatory, Signatory's member organisation, or club or member organisation of that Signatory's member organisation;
  - (iii) any Event or Competition authorised or organised by any professional league or any international or national-level Event or Competition organisation; or
  - (iv) any elite or national-level sporting activity funded by a governmental agency.
- b. The only exceptions to Rule 10.11.1(a) are as follows:
- (i) An Athlete or other Person who is 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 sports events are not at a level that could otherwise qualify such Athlete or other Person directly or indirectly to compete in (or accumulate points towards) a national championship or International Competition, and does not involve the Athlete or other Person working in any capacity with Minors; and
  - (ii) An Athlete may return to train as part of a team or (subject always to Rule 10.11.1(b)(ii)) to use the facilities of a club or other member organisation of a Signatory's member organisation 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.
- 10.11.2 Without prejudice to the generality of Rule 10.11.1, an Athlete or other Person shall not, during any period of Ineligibility, be given accreditation for, or otherwise granted access to, any International Competition or any other Event or Competition or activity authorised, organised or sanctioned by World Athletics, any National Association or member of a National Association, or any Area Association and any such accreditation previously issued shall be withdrawn.
- 10.11.3 Without prejudice to the automatic application of the period of Ineligibility to the events, competitions and other activities of all Signatories (as set out in Rule 10.11.1(a)(ii) and Code Rule 10.12.1), the Integrity Unit will also take all necessary steps to have the Ineligibility of the Athlete or other Person recognised and enforced by other relevant organisations in accordance with Code Rule 17 (Application and Recognition of Decisions).
- 10.11.4 Where a Competition that will take place after the period of Ineligibility has an entry deadline that falls during the period of Ineligibility, the Athlete may submit an application for entry in the Competition in accordance with that

deadline, notwithstanding that at the time of such application they are Ineligible.

- 10.11.5 An Athlete subject to a period of Ineligibility shall remain subject to Testing and must provide whereabouts information for that purpose upon request. If an Athlete or other Person commits an Anti-Doping Rule Violation during a period of Ineligibility (including but not limited to an Anti-Doping Rule Violation under Rule 2.1), this shall be treated as a separate Anti-Doping Rule Violation under these Anti-Doping Rules.
- 10.11.6 If an Athlete or other Person who has been declared Ineligible violates the prohibition on participation during Ineligibility described in Rule 10.11.1, a new period of Ineligibility equal in length to the original period of Ineligibility shall be added to the end of the original period of Ineligibility. The new period of Ineligibility may be adjusted based on the degree of Fault of the Athlete or other Person and other circumstances of the case. The determination of whether an Athlete or other Person has violated the prohibition against participation while Ineligible, and whether an adjustment is appropriate, shall be made by the Anti-Doping Organisation whose results management led to the imposition of the original period of Ineligibility, and such decision shall be subject to appeal in accordance with Rule 13. In any case, any results obtained by the Athlete or other Person in such Competition(s), with all resulting consequences, including forfeiture of any medals, titles, points and prize and appearance money obtained in such Competition(s), shall be automatically Disqualified.
- 10.11.7 An Athlete Support Person or other Person who assists another Person in their violation of the prohibition against participation during Ineligibility thereby commits an Anti-Doping Rule Violation under Rule 2.9. In addition, for any Anti-Doping Rule Violation not involving an eliminated or reduced period of Ineligibility pursuant to Rule 10.4 or 10.5, some or all sport-related financial support or other sport-related benefits received by such Athlete or other Person will be withheld by World Athletics or any Member Federation.

#### 10.12 Conditions of Reinstatement:

- 10.12.1 As a condition of reinstatement, an Athlete who is subject to a period of Ineligibility must respect the conditions of Rule 10.11.5, failing which the Athlete shall not be eligible for reinstatement until they have made themselves available for Testing (by notifying World Athletics in writing) for a period of time equal to the period of Ineligibility remaining as at the date they first stopped making themselves available for Testing, except that in the event that an Athlete retires while subject to a period of Ineligibility, the conditions set out in Rule 5.8.2 shall apply.
- 10.12.2 Once the period of an Athlete's Ineligibility has expired, and the Athlete has fulfilled the foregoing conditions of reinstatement, then provided that (subject to Rule 10.10.1) the Athlete has paid in full all amounts forfeited, and has satisfied in full any award of costs made against the Athlete by the Disciplinary Tribunal and/or by the CAS following any appeal made pursuant to Rule 13.2, the Athlete will become automatically re-eligible and no application by the Athlete for reinstatement will be necessary. If, however, further amounts become due after an Athlete's period of Ineligibility has expired (as a result of an instalment plan established

pursuant to Rule 10.10.1), then any failure by the Athlete to pay all outstanding amounts on or before their respective due dates shall render the Athlete automatically Ineligible to participate in further International Competitions until all amounts due are paid in full.

- 10.12.3 Even if no period of Ineligibility is imposed, an Athlete may not participate in an International Competition while any prize money ordered or agreed to be forfeited under these Anti-Doping Rules, and/or any award of costs against the Athlete, remains unpaid, unless an instalment plan has been established pursuant to Rule 10.10.1 and the Athlete has made all payments due under that plan. If any instalment(s) become(s) overdue under that plan, the Athlete may not participate in any International Competition until such overdue instalments are paid in full.

## **11. Consequences to Teams**

- 11.1 Where the Athlete who has committed an Anti-Doping Rule Violation competed as a member of a relay team, the relay team shall be automatically Disqualified from the Event in question, with all resulting consequences for the relay team, including the forfeiture of all titles, awards, medals, points and prize and appearance money. If the Athlete who has committed an Anti-Doping Rule Violation competes for a relay team in a subsequent Event in the Competition, the relay team shall be Disqualified from the subsequent Event, with all the same resulting consequences for the relay team, including the forfeiture of all titles, awards, medals, points and prize money unless the Athlete establishes that they bear No Fault or Negligence for the violation and that their participation in the relay was not likely to have been affected by the Anti-Doping Rule Violation.
- 11.2 Where the Athlete who has committed an Anti-Doping Rule Violation competed as a member of a team other than a relay team, in an Event where a team ranking is based on the addition of individual results, the team shall not be automatically disqualified from the Event in question but the result of the Athlete committing the violation will be subtracted from the team result and replaced with the result of the next applicable team member. If, by subtracting the Athlete's result from the team's result, the number of Athletes counting for the team is less than the required number, the team shall be disqualified. This same principle shall apply to the calculation of a team result if the Athlete who has committed an Anti-Doping Rule Violation competes for a team in a subsequent Event in the Competition unless the Athlete establishes that they bear No Fault or Negligence for the violation and that their participation in the team was not likely to have been affected by the Anti-Doping Rule Violation.
- 11.3 In addition to the Disqualification of the Athlete's individual results as determined in Rule 10.8:
- a. the results of any relay team in which the Athlete competed shall be automatically Disqualified, with all resulting consequences for the relay team, including the forfeiture of all titles, awards, medals, points and prize money; and
  - b. the results of any team other than a relay team in which the Athlete competed shall not be automatically Disqualified but the result of the Athlete committing the Anti-Doping Rule Violation will be subtracted from the team result and replaced with the result of the next applicable team member. If, by subtracting the Athlete's result from the team's result, the number of Athletes counting for the team is less than the required number, the team shall be Disqualified.



- 11.4 Where more than one member of a relay or other team has been notified of an Anti-Doping Rule Violation under Rule 2 in connection with a Competition, the ruling body for the Competition shall conduct appropriate Target Testing of the team during the Competition Period.

## 12. Disciplinary Proceedings for Non-Compliance

- 12.1 Where an Athlete or other Person refuses or fails without compelling justification to comply with any provision of these Anti-Doping Rules, but such refusal or failure does not fall within any of the anti-doping rule violations defined in Rule 2, the Athlete or Athlete Support Person shall not be deemed to have committed an Anti-Doping Rule Violation and they shall not be subject to any of the Consequences set out in Rules 9 and 10. However, disciplinary proceedings may be brought against them before the Disciplinary Tribunal in accordance with Rule 8, and if the Disciplinary Tribunal finds that there has been such refusal or failure without compelling justification then it shall impose upon the Athlete or Athlete Support Person such sanctions as it sees fit (which may include, if it sees fit, a period during which the Athlete or Athlete Support Person shall not be eligible to participate in the sport).

## 13. Appeals

### 13.1 Decisions Subject to Appeal

Unless specifically stated otherwise, decisions made under these Anti-Doping Rules may be appealed only as set out in this Rule 13. Such decisions shall remain in effect while under appeal unless CAS orders otherwise. Before an appeal is commenced, any post-decision review provided in these Anti-Doping Rules must be exhausted. Reviews of Demands made by the chairperson of the Disciplinary Tribunal or their delegate in accordance with Rule 7.8 are not subject to appeal under this Rule 13 or otherwise.

#### 13.1.1 Scope of Review Not Limited

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

#### 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 of appeal under Rule 13 and no other party has appealed a final decision within the Anti-Doping Organisation's process, WADA may appeal such decision directly to CAS without having to exhaust other remedies in the Anti-Doping Organisation's process.

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

- 13.2.1 **A decision that an Anti-Doping Rule Violation** has been committed, a decision **imposing (or not imposing) Consequences for an Anti-Doping Rule Violation, a decision that no Anti-Doping Rule Violation**

**has been committed, a decision** that a case cannot go forward for procedural reasons (including, for example, because too much time has passed), a decision by WADA not to grant an exception to the six month notice requirement for a retired Athlete to return to Competition under Rule 5.8.1, a decision by WADA assigning results management under Code Rule 7.1, a decision by the Integrity Unit not to pursue an Adverse Analytical Finding or an Atypical Finding as an Anti-Doping Rule Violation, a decision by the Integrity Unit not to bring a case after an investigation under Rule 7.7, **a decision to impose a Provisional Suspension as a result of a Provisional Hearing, the Integrity Unit's failure to comply with Rule 7.10**, a decision that World Athletics or the Disciplinary Tribunal 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 Rule 10.6.1, a decision under Rule 10.11.6 in relation to participation while Ineligible, and a decision by World Athletics not to recognise another Anti-Doping Organisation's decision under Rule 17 **may be appealed exclusively as provided in this Rule 13.2.**

#### 13.2.2 Appeals involving International-Level **Athletes or International Competitions**

In cases arising involving International-Level Athletes or **Persons participating in** International Competitions, a decision may be appealed exclusively to CAS.

#### 13.2.3 Appeals involving Other Athletes or Other Persons

In cases **where Rule 13.2.2 does not apply**, decisions made against Athletes or other Persons may be appealed to an independent and impartial body in accordance with rules established **by the National Anti-Doping Organisation**. 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;
- the right to have an interpreter at the hearing at the Person's own expense; and
- a timely, written, reasoned decision.

The decision of the national level appeal body may be appealed in accordance with Rule 13.2.6.

**If no such body as described above is in place and available at the time of the appeal, decisions made against Athletes or other Persons may be appealed to CAS.**

#### 13.2.4 Persons entitled to Appeal in cases involving International-Level Athletes or **Persons participating in** International Competitions

In cases under Rule 13.2.2, 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. World Athletics;
- d. the National Anti-Doping Organisation of the Athlete or other Person's country of residence or where the Athlete or other Person is a national or licence holder;
- e. the IOC or the International Paralympic Committee, as applicable (where the decision may have an effect in relation to the Olympic Games or Paralympic Games, including a decision affecting eligibility for the Olympic Games or Paralympic Games or a result obtained at the Olympic or Paralympic Games); and
- f. WADA.

13.2.5 Persons entitled to Appeal in cases involving other Athletes and other Persons

In cases under Rule 13.2.3, the parties having the right to **appeal 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. **World Athletics;**
- d. the National Anti-Doping Organisation of the Athlete or other Person's country of residence or where the Athlete or other Person is a national or licence holder;
- e. the IOC or the International Paralympic Committee, as applicable (where the decision may have an effect in relation to the Olympic Games or Paralympic Games, including a decision affecting eligibility for the Olympic Games or Paralympic Games or a result obtained at the Olympic or Paralympic Games); and
- f. WADA.

13.2.6 In cases under Rule 13.2.5, World Athletics, the IOC, the IPC and WADA shall **also** have the right to appeal the decision of the national level appeal body to CAS.

**13.2.7 The only Person who may appeal from a Provisional Suspension as a result of a Provisional Hearing is the Athlete or other Person upon whom the Provisional Suspension is imposed.**

### 13.3 Failure to Render a Timely Decision:

Where, in a particular case, the Integrity Unit fails to decide 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 the Integrity Unit had rendered a decision finding that no Anti-Doping Rule Violation was committed. If CAS determines that an Anti-Doping Rule Violation was committed and that WADA acted reasonably in electing to appeal directly to CAS, then WADA's reasonable costs and legal fees in prosecuting the appeal shall be reimbursed to WADA by World Athletics.

### 13.4 Appeals Relating to TUEs:

TUE decisions may be appealed exclusively as provided in Rule 4.4 and the Anti-Doping Regulations.

### 13.5 Appeals from Decisions Sanctioning Members for Failing to Comply with Anti-Doping obligations

A decision by the Council pursuant to Rule 16 to sanction a Member for failing to comply with its anti-doping obligations under these Rules may be appealed exclusively to CAS.

### 13.6 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 Rule 13.2.4 and 13.2.5, as provided in Rule 14.

### 13.7 Time for Filing Appeals:

13.7.1 The deadline for filing an appeal to CAS shall be 30 days from the date of receipt of the reasoned decision in question by the appealing party (and where World Athletics is the prospective appellant in a proceeding other than before the Disciplinary Tribunal, 30 days from the date of receipt of the full reasoned decision and the complete file relating to the decision in English or French). Where the appellant is a party other than World Athletics, to be a valid filing under this Rule 13.7.1, a copy of the appeal must be filed on the same day with World Athletics. Within 15 days of the deadline for filing the statement of appeal, the appellant shall file their appeal brief with CAS and, within 30 days of receipt of the appeal brief, the respondent shall file their answer with CAS.

13.7.2 Notwithstanding Rule 13.7.1, the filing deadline for an appeal by WADA shall be the later of:

- a. 21 days after the last day on which any other party in the case could have appealed; and
- b. 21 days after WADA's receipt of the complete file relating to the decision.

### 13.8 The decision as to whether:

- a. World Athletics should appeal to CAS;

- b. World Athletics should participate in any appeal or other proceeding before CAS, or before any other tribunal, to which World Athletics is not a party; or
- c. World Athletics shall suspend the Athlete or other Person pending the CAS decision or the decision of the other tribunal,

shall be taken by the Head of the Integrity Unit subject to the prior approval of the Integrity Unit Board.

#### 13.9 Appeal Procedure:

- 13.9.1 The CAS Code of Sports-related Arbitration, as modified or supplemented herein, shall apply to all appeals filed **before CAS and** pursuant to this Rule 13.
- 13.9.2 A party with a right of appeal against a decision may, within 15 days of receipt of the decision, request a copy of the full case file pertaining to the decision. Any party filing an appeal shall be entitled to assistance from CAS to obtain all relevant information from the parties to the decision being appealed, and the information shall be provided if CAS so directs.
- 13.9.3 Cross appeals and other subsequent appeals by any respondent named in cases brought to CAS under these Anti-Doping Rules are specifically permitted. Any party with a right to appeal under this Rule 13 must file a cross appeal or subsequent appeal at the latest with its answer.
- 13.9.4 In all CAS appeals involving World Athletics, the CAS Panel shall be bound by the Constitution, Rules and Regulations (including the Anti-Doping Rules and Regulations). In the case of conflict between the CAS rules currently in force and the Constitution, Rules and Regulations, the Constitution, Rules and Regulations shall take precedence.
- 13.9.5 In all CAS appeals involving World Athletics, the governing law shall be Monegasque law and the appeal shall be conducted in English, unless the parties agree otherwise.
- 13.9.6 The decision of CAS shall be final and binding on all parties, and no right of appeal shall lie from the CAS decision. Subject to Rule 14.1.5, the CAS decision shall be Publicly Reported by World Athletics within 20 days of receipt. However, this mandatory Public Reporting requirement shall not apply where the Player 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. 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 and other Persons of Anti-Doping Rule Violations asserted against them shall occur as provided under Rule 7 and/or Rule 8

above. Notice by the Integrity Unit to an Athlete or other Person who is a member of or affiliated to a Member Federation may be accomplished by delivery of the notice to the Member 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 Rule 7 and/or Rule 8, simultaneously with notice to the Athlete or other Person.

14.1.3 Content of an Anti-Doping Rule Violation Notice

Notification shall include; the Athlete's name, country, sport and discipline, the Athlete's competitive level, whether the test was In-Competition or Out-of-Competition, the date of the Sample collection, the analytical result reported by the laboratory and other information as required by the International Standard for Testing and Investigations or, for Anti-Doping Rule violations other than Rule 2.1, 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 Rule 14.1, Member Federations, National Anti-Doping Organisations and WADA shall be regularly updated on the status and findings of any review or proceedings conducted pursuant to Rules 7, 8 and 13 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 the above information beyond those Persons with a need to know (which may include appropriate personnel at the applicable National Olympic Committee) until the Integrity Unit has made Public Disclosure or has failed to make Public Disclosure as required in Rule 14.3.

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

14.2.1 Anti-Doping Rule Violation decisions rendered pursuant to Rules 7, 8, 10 and 13 shall include the full reasons for the decision, including, if applicable, a justification for why the greatest possible Consequences were not imposed. The decision shall be provided in English or French.

14.2.2 An Anti-Doping Organisation having a right to appeal a decision received pursuant to Rule 14.2.1 may within 15 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 the Athlete or other Person who is asserted to have committed an Anti-Doping Rule Violation may be Publicly Disclosed by the

Integrity Unit in accordance with Rule 14.3 only after notice has been provided to the Athlete or other Person in accordance with Rule 7 and/or Rule 8 and simultaneously to the Member Federation, WADA and the National Anti-Doping Organisation of the Athlete or other Person in accordance with Rule 14.1.2.

- 14.3.2 No later than 20 days after it has been determined in a final appellate decision under Rule 13, or such appeal has been waived, or a hearing in accordance with Rule 8 has been waived, or the assertion of an Anti-Doping Rule Violation has not been timely challenged, the Integrity Unit shall Publicly Report the disposition of the matter, including the discipline, the anti-doping rule violated, **the name of the Athlete or other Person committing the violation**, the name of the Prohibited Substance or Method involved (if any) and the Consequences imposed. The Integrity Unit shall Publicly Disclose within 20 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. World Athletics shall use reasonable efforts to obtain such consent. If consent is obtained, World Athletics shall 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 Integrity Unit 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 the Integrity Unit, nor any Member Federation, **nor any Anti-Doping Organisation, nor WADA**, nor any official of **an such** body, shall publicly comment on the specific facts of any pending case (as opposed to a 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 Rule 14.3.2 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

World Athletics shall publish **publicly** at least annually a general statistical report of its Doping Control activities, with a copy provided to WADA.

#### 14.5 Doping Control Information Clearinghouse

WADA shall act as a central clearinghouse for Doping Control Testing data and results, including, in particular, Athlete Biological Passport data for International-Level Athletes and National-Level Athletes and whereabouts information for Athletes including those in Registered Testing Pools. To facilitate coordinated test distribution

planning and to avoid unnecessary duplication in Testing by various Anti-Doping Organisations, each Anti-Doping Organisation shall report all In-Competition and Out-of-Competition tests on such Athletes to the WADA clearinghouse, using ADAMS or another system approved by WADA 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 Organisation with Testing authority over the Athlete.**

## 14.6 Data Privacy

14.6.1 The Integrity Unit may collect, store, process or disclose personal information relating to Athletes and other Persons where necessary and appropriate to conduct its 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. Member Federation Anti-Doping Obligations

### 15.1 Introduction

15.1.1 World Athletics has a responsibility under the Code to require that the policies, rules and programmes of its Member Federations are in compliance with the Code and to take appropriate action to discourage non-compliance.

15.1.2 This Rule 15 establishes a framework of Member Federation anti-doping obligations that is designed to ensure that Member Federations have rules and policies that are compliant with the Code but also that Member Federations take ultimate responsibility for the delivery of strong and effective anti-doping programmes in Athletics in their respective jurisdictions. The Integrity Unit shall monitor the compliance of Member Federations with their obligations under this Rule and shall either work with non-compliant Member Federations to ensure that they become compliant or shall refer non-compliant Member Federations to the Council for sanction. The ultimate objective is to ensure that strong, compliant anti-doping programmes are being applied and enforced in Athletics consistently and effectively so that clean Athletes can have confidence that there is a fair competition on a level playing field and that public confidence in the integrity of Athletics can be maintained.

### 15.2 General

15.2.1 It is a condition of membership of World Athletics that each Member Federation shall comply with these Anti-Doping Rules. The obligation to



comply is an absolute one such that it is not necessary to prove fault or intent on the part of a Member Federation to establish a breach of these Anti-Doping Rules.

- 15.2.2 Member Federations shall take all necessary measures within their powers to implement and comply with these Anti-Doping Rules.
- 15.2.3 Without limitation to the above, it is acknowledged that, in some jurisdictions, certain anti-doping functions may be delegated or assigned to a Relevant Anti-Doping Organisation, whether voluntarily by the Member Federation or as a matter of applicable national legislation or regulation. In such cases, a Member Federation may achieve compliance with these Anti-Doping Rules through the actions of the Relevant Anti-Doping Organisation but, if the Relevant Anti-Doping Organisation fails to meet the requirements of the Member Federation under these Anti-Doping Rules, the Member Federation will be held to be in breach.
- 15.2.4 For the avoidance of doubt, where a Member Federation is held to be in breach of these Rules, it shall be no defence that:
- a. its obligations have been delegated or assigned to a Relevant Anti-Doping Organisation whether voluntarily by the Member Federation or as a matter of applicable national legislation or regulation;
  - b. the breach has been caused by interference by, and/or a failure to provide support or other act or omission by, any governmental or other public authorities.
- 15.2.5 For the purposes of these Rules, a Member Federation shall be liable and deemed responsible for the acts and omissions of its servants, agents, employees, directors or officials (and for the acts and omissions of any servants, agents, employees, directors or officials of the Relevant Anti-Doping Organisation to which its obligations under these Anti-Doping Rules have been delegated or assigned).

### 15.3 Categorisation of Member Federations

- 15.3.1 For the purposes of this Rule 15, Member Federations shall be categorized according to their doping risk to the sport in descending order, categories A, B and C (category A Member Federations having the highest doping risk to the sport and category 'C' Member Federations having the lowest doping risk to the sport).
- 15.3.2 The specific obligations of a Member Federation as set out in this Rule 15 will be determined by its assigned category. Certain obligations will apply to all Member Federations whilst others will apply depending on the category in which the Member Federation is placed.
- 15.3.3 Prior to the commencement of each year, the Integrity Unit Board shall determine in its absolute discretion the category of each Member Federation by taking into account the following factors:

- a. the doping history of Athletes, Athlete Support Personnel and other Persons under the jurisdiction of the Member Federation;
- b. confidential intelligence or other information provided by the Integrity Unit;
- c. the success of the Member Federation in International Competitions or in particular International Competitions, whether as a whole or in particular disciplines;
- d. any significant improvement in the performance of the Member Federation's Athletes at any level of competition;
- e. the number of athletes representing the Member Federation in International Competitions or in particular International Competitions;
- f. compliance by the Member Federation with this Rule 15;
- g. any other matter the Integrity Unit in its absolute discretion thinks fit.

15.3.4 In respect of a determination of the Integrity Unit Board under Rule 15.3.3:

- a. the Integrity Unit Board may adopt such process for making a determination as it deems fit;
- b. the Integrity Unit Board is not required to give reasons for its determination;
- c. the Integrity Unit Board is not required to disclose any confidential intelligence or other information that formed part of its decision making;
- d. the determination is not subject to appeal or review.

15.3.5 In the event that a Member Federation's category is changed from one year to the next taking into consideration the factors in Rule 15.3.3, the Integrity Unit Board may, in its absolute discretion, stay the effect of its determination, or any part of it, for such period and upon such conditions as it deems appropriate to permit the orderly transition of the Member Federation to compliance with the new requirements.

15.3.6 In exceptional cases (including without limitation new intelligence or information becoming available), the Integrity Unit Board may change a Member Federation's assigned category from Category 'B' to Category 'A' during the course of the year. In such cases, the Integrity Unit Board shall impose on the Member Federation for that year such of the specific obligations for Category 'A' Member Federations in Rule 15.5 as it deems to be appropriate (in the same or modified form) and upon such notice as it considers to be reasonable in the circumstances.

15.4 General Obligations Applying to All Member Federations

15.4.1 General Conduct of Member Federations

A Member Federation shall be held to be in breach of the Anti-Doping Rules if either it or the Relevant Anti-Doping Organisation:

- a. engages in conduct in relation to or associated with doping in Athletics or the implementation or administration of these Anti-Doping Rules that is likely to prejudice the interests of World Athletics or bring the sport of Athletics into disrepute;
- b. engages in any dishonest, corrupt, fraudulent or improper act or practice in relation to doping in Athletics, or the administration or implementation of these Anti-Doping Rules;
- c. conducts itself negligently or recklessly in response to any risk of doping in Athletics in its jurisdiction;
- d. obstructs or frustrates anti-doping processes in Athletics from occurring;
- e. obstructs, hinders or delays an investigation conducted by the Integrity Unit pursuant to these Anti-Doping Rules (e.g., by providing false, misleading or incomplete information or documentation, by tampering with or destroying any documentation or other information that may be relevant to the investigation, or by interfering with or taking reprisals against any witness to an investigation).

#### 15.4.2 Adoption of compliant rules and regulations

- a. Member Federations shall incorporate these Anti-Doping Rules either directly or by reference into their rules, or shall establish rules the same as these Anti-Doping Rules, so that the Member Federation may enforce these Anti-Doping Rules directly against all Athletes, Athlete Support Personnel and other Persons under its jurisdiction.
- b. Member Federations shall require in their rules that all Athletes and each Athlete Support Person and other Person who participates as coach, trainer, manager, team staff, official, medical or paramedical personnel in a Competition or activity authorised or organised by a Member Federation or one of its member organisations agree to be bound by these Anti-Doping Rules and to submit to the results management authority of the Anti-Doping Organisation responsible under these Anti-Doping Rules as a condition of such participation.
- c. Member 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 their jurisdiction.
- d. Member Federations shall include in their rules specific provisions to ensure that World Athletics may through the Integrity Unit apply these Anti-Doping Rules directly as against all Athletes, Athlete Support Personnel and other Persons under their jurisdiction, including the servants, agents, employees, directors and officials of the Member Federation.

#### 15.4.3 Mechanism for Reporting Doping

A Member Federation shall be held to be in breach of the Anti-Doping Rules if either it or the Relevant Anti-Doping Organisation for its jurisdiction fails to:

- a. take reasonable steps to promote actively an open environment that encourages Athletes, Athlete Support Personnel and other whistle-blowers to report on doping and other non-compliant situations (including the intimidation of or threats to Athletes or DCOs by Athlete Support Personnel);
- b. put in place effective mechanisms (e.g., hotlines, email addresses for the provision of tip-offs) to enable doping and other non-compliant situations to be reported directly to a designated individual or entity at national or regional level whose function is to assist the person reporting the information and/or to the Integrity Unit and/or to WADA.

#### 15.4.4 Obligation to pursue and report all apparent Anti-Doping Rule Violations

A Member Federation shall be held to be in breach of the Anti-Doping Rules if either it or the Relevant Anti-Doping Organisation for its jurisdiction fails to:

- a. pursue in a proper and timely fashion (including the timely notification of all such cases to the Integrity Unit) all apparent Anti-Doping Rule Violations committed by their Athletes, Athlete Support Personnel and other Persons;
- b. report to the Integrity Unit on a timely basis any information in its possession, suggesting or relating in any way to an apparent Anti-Doping Rule Violation by an Athlete, Athlete Support Person or other Person under its jurisdiction. Thereafter, the Member Federation or Relevant National Anti-Doping Organisation must cooperate and assist fully with the Integrity Unit in the investigation of that information, including (without limitation) reporting any further information received on the same or any related subject;
- c. investigate a possible violation of these Anti-Doping Rules by one or more Athlete, Athlete Support Person or other Person under the Member Federation's jurisdiction (where appropriate, acting in conjunction with any other relevant national authority or body) when requested by the Integrity Unit to do so and provide a written report on such investigation within a reasonable time period as stipulated by the Integrity Unit.

#### 15.4.5 Reporting and Results Management obligations

A Member Federation shall be held to be in breach of these Anti-Doping Rules if either it or the Relevant National Anti-Doping Organisation for its jurisdiction fails:

- a. to notify the Integrity Unit in writing of all relevant results management activities in accordance with these Anti-Doping Rules;

- b. to notify the Integrity Unit promptly, and in all circumstances, within 14 days, of any Adverse Analytical Finding or Atypical Finding obtained in the course of Testing, together with the name of the Athlete concerned and all documents relevant to the Adverse Analytical Finding or Atypical Finding in question;
- c. to notify the Integrity Unit promptly of any other Anti-Doping Rule Violation asserted against an Athlete, Athlete Support Person or other Person;
- d. in the case of proceedings other than before the Disciplinary Tribunal, to conduct a hearing process in accordance with Rule 8.10 for any Person who is asserted to have committed an Anti-Doping Rule Violation. The hearing process shall provide at a minimum for: a fair hearing within a reasonable time; before a fair and impartial hearing panel; with a timely, written reasoned decision; and (for cases other than those under Rule 13.2.2) a right of appeal to an independent and impartial body in accordance with rules established by **the Relevant Anti-Doping Organisation**;
- e. to notify the Integrity Unit in writing within 5 working days of any decision taken under these Anti-Doping Rules that is subject to an appeal in accordance with Rule 13 (and to provide the Integrity Unit with a copy of the written reasons for the decision in English or French and a copy of the complete file upon request);
- f. to notify the Integrity Unit within 5 days of the commencement of any appeal (including to CAS) to which the Member Federation and/or an Athlete, Athlete Support Person or other Person is a party that arises from a decision taken within its jurisdiction. At the time of notification, the Member Federation or Relevant National Anti-Doping Organisation shall ensure that the Integrity Unit receives a copy of the statement of appeal in the case;
- g. to respect fully decisions taken under these Anti-Doping Rules in respect of Athletes, Athlete Support Personnel and other Persons and to give assistance to the Integrity Unit to enforce such decisions where necessary;
- h. to ensure that any medals forfeited by Athletes due to the Disqualification of their results are delivered to World Athletics within 30 days of receipt of the final appellate decision on Disqualification or the expiry of the time limit to appeal.

#### 15.4.6 Personnel related to Anti-Doping

- a. Each Member Federation shall take all reasonable measures when engaging or funding Athlete Support Personnel or other Persons to work with Athletes to ensure that such persons are of good character and repute and that the risk of doping in relation to their engagement is minimised.

- b. Member Federations shall keep and maintain a complete, accurate and up to date register of Athlete Support Personnel and other Persons that they engage or fund to work with Athletes.
- c. The register of Athlete Support Personnel and other Persons referred to in Rule 15.4.6(b) shall be maintained in such form and shall contain such details as required by the Integrity Unit from time to time. The register must be made available for inspection by the Integrity Unit upon request.
- d. Where any person contracted to a Member Federation (whether as an employee or a consultant, agent or adviser), holding an office or directorship with a Member Federation or sitting on a Member Federation committee or commission is found to have committed an Anti-Doping Rule Violation, the Member Federation shall terminate its relationship with that person immediately, unless otherwise required by law or agreed with the Integrity Unit.

#### 15.4.7 Medical treatment and supplementation

- a. Member Federations shall keep and maintain complete, accurate and up to date records of all relevant treatments (as defined in Rule 15.4.7(b) that have been administered or dispensed to Athletes under the jurisdiction of the Member Federation either by:
  - (i) the Member Federation itself, or by one of the Member Federation's office-holders, employees, servants, agents, consultants or advisers; or
  - (ii) another person on behalf of the Member Federation; or
  - (iii) a person authorised by the Member Federation to do so; or
  - (iv) a person funded (in cash or in kind) by the Member Federation to do so.
- b. For the purposes of Rule 15.4.7(a), relevant treatments are all medications, drugs, therapeutic substances and performance supplements administered or dispensed to Athletes.
- c. The records referred to in Rule 15.4.7(a) shall include full and proper details of any relevant treatment administered or dispensed to an Athlete including without limitation:
  - (i) the reason for treatment of the Athlete and the dates, places and times the treatment was administered or dispensed;
  - (ii) the names of Person(s) administering or dispensing the treatment;
  - (iii) the names of the Athlete who was treated;
  - (iv) the method of administration to the Athlete;
  - (v) the dosages administered or dispensed to the Athlete;

- (vi) the instructions provided when dispensing the treatment.
- d. Without limiting any other part of these Rules, upon request of the Integrity Unit for good cause made in accordance with these Rules, a Member Federation shall produce the records required to be maintained under this Rule 15.4.6 for inspection.
- e. For the avoidance of doubt, it is the responsibility of the Member Federation to ensure that its employees, service providers and consultants maintain and provide the records necessary for compliance with this Rule 15.4.6.
- f. In addition to the other requirements of this Rule 15.4.6, Member Federations shall provide the Integrity Unit upon request with a complete, accurate and up to date list of all medications, drugs, therapeutic substances and performance supplements that they intend to import into a country for the purposes of treating their National Team at any World Athletics Series competition and shall explain, if requested, the reason for such medications or supplements and for which Athletes they are intended.
- g. Compliance with this Rule is subject to any Personal Information being processed in accordance with the International Standard for the Protection of Privacy and Personal Information and in accordance with applicable data protection laws.

#### 15.4.8 Therapeutic Use Exemptions

A Member Federation shall be held to be in breach of these Anti-Doping Rules if either it or the Relevant Anti-Doping Organisation for its jurisdiction fails:

- a. to put in place a TUE Committee and a documented process for national-level Athletes to apply for the grant of a TUE in accordance with the requirements of the International Standard for Therapeutic Use Exemptions;
- b. to report promptly to World Athletics and WADA any TUEs that are granted to national-level Athletes (and to ensure the timely entry of TUE decisions on ADAMS).

### 15.5 Specific Obligations for Category 'A' Member Federations

#### 15.5.1 Testing

- a. A Category 'A' Member Federation shall be held to be in breach of these Anti-Doping Rules if there is not an effective, intelligent and proportionate annual Testing plan maintained and implemented in Athletics within its jurisdiction that complies with the International Standard for Testing and Investigations and the requirements of Rule 15.5.1(b) ('Testing Plan').
- b. The Testing Plan must:

- (i) have the objective of ensuring that all Athletes in the pool from which a National Team is likely to be selected for World Athletics World Championships or Olympic Games, and who are not already on the International Registered Testing Pool, are adequately tested in accordance with the requirements of this Rule;
  - (ii) be in place, properly documented (including the names of all the Athletes in the pool and applicable test distribution details) and notified to the Integrity Unit by no later than 1 January each year and thereafter kept up-to-date;
  - (iii) include in-competition testing, no notice out-of-competition testing and pre-competition blood testing for screening purposes (Athlete Biological Passport) and analyses as prescribed under WADA's Technical Document on Sport-Specific Analyses (TDSSA);
  - (iv) provide for all samples to be analysed by WADA-accredited (or WADA-approved) laboratories for full menu analysis (or, in the case of ABP samples, for full ABP analysis) and the results must be reported continuously to the Integrity Unit and WADA in accordance with the requirements of the International Standard for Laboratories. Relevant doping control forms must be recorded on ADAMS and copies made available to the Integrity Unit upon request;
  - (v) provide for co-operation and co-ordination between any Relevant National Anti-Doping Organisation and the Integrity Unit in accordance with Rule 4.9 of the WADA International Standard for Testing and Investigations to further the objective set out in Rule 15.5.1(b);
  - (vi) provide for reporting against the performance of the Testing Plan on the request of the Integrity Unit, in a form and manner as required by the Integrity Unit.
- c. Unless otherwise approved by the Integrity Unit in exceptional circumstances, no Athlete may participate as part of a National Team of a Category 'A' Member Federation in World Athletics World Championships or Olympic Games unless, in the 10 months prior to the competition, they have undergone at least three no notice out-of-competition tests (urine and blood) including (if they compete in any of a middle distance event from 800m upwards, a long distance event, a combined event or a race walk event) at least one Athlete Biological Passport test and one EPO test. All such tests are to be conducted no less than 3 weeks apart and the results recorded in ADAMS. Category 'A' Member Federations shall ensure that all Athletes to whom this requirement may be relevant receive effective written notice of it by no later than 1 January of each year.
- d. The Integrity Unit has responsibility to ensure that the testing requirements of Rule 15.5.1(c) are fulfilled for Category 'A' Athletes in the International Registered Testing Pool and it is the responsibility of Category 'A' Member Federations (or a Relevant Anti-Doping



Organisation on behalf of the Member Federation) to ensure that these requirements are fulfilled for all other Athletes.

#### 15.5.2 Whereabouts

- a. Without limiting any other Rule, and in particular the personal obligations of Athletes under Rule 5.7, Category 'A' Member Federations must take all necessary steps to ensure that Athletes in the International Registered Testing Pool maintain detailed, complete, accurate and up-to-date whereabouts information as required by these Anti-Doping Rules and World Athletics Anti-Doping Regulations.
- b. In determining whether a Category 'A' Member Federation has complied with **Rule 15.5.2**, it is deemed to be the responsibility of Category 'A' Member Federations to ensure and monitor that its Athletes in the International Registered Testing Pool are properly educated about, aware of and compliant with the whereabouts requirements set out in World Athletics Anti-Doping Rules and Regulations.

#### 15.5.3 Anti-Doping Education

- a. A Category 'A' Member Federation shall ensure that every Athlete in a National Team for a World Athletics Series competition and all Athlete Support Personnel under its jurisdiction participating in such a competition are subject to mandatory anti-doping education programmes that provide updated and accurate information on at least the following issues: substances and methods on the Prohibited List, Anti-Doping Rule Violations, Consequences of doping, including sanctions, health and social consequences, doping control procedures, Athletes and Athletes Support Personnel's rights and responsibilities, TUEs, managing the risks of nutritional supplements, harm of doping to the spirit of sport and whereabouts requirements.
- b. Category 'A' Member Federations shall be required to co-operate with the Integrity Unit with regards to the development and implementation of anti-doping education programmes.

#### 15.5.4 Anti-Doping Governance Committee

- a. Each Category 'A' Member Federation shall establish a suitably qualified and experienced Anti-Doping Monitoring Committee to oversee and ensure the organisation's compliance with the requirements of this Rule 15. The composition of the Anti-Doping Monitoring Committee is at the discretion of the Member Federation and may include both internal and independent members.
- b. Each Category 'A' Member Federation shall, upon request, provide the Integrity Unit with details of the names, backgrounds and responsibilities of each person sitting on the Anti-Doping Monitoring

Committee, the terms of reference of such committee and keep such information up-to-date.

- c. Each Category 'A' Member Federation shall appoint a dedicated employee to act as the point of contact between the Integrity Unit and the Member Federation's Anti-Doping Monitoring Committee and it shall notify the name and contact details of the appointed person to the Integrity Unit.

#### 15.5.5 Other Specific Obligations

In addition to the specific obligations set out in Rule 15.5 above, the Council, upon recommendation of the Integrity Unit Board, may impose such other obligations on a Category 'A' Member Federation as it deems fit and for such period as it deems to be reasonable and appropriate having regard to the specific circumstances of the Member Federation or Relevant Anti-Doping Organisation's anti-doping programme and/or the anti-doping situation in the Member Federation's country.

### 15.6 Specific Obligations for Category 'B' Member Federations

#### 15.6.1 Testing

- a. Category 'B' Member Federations shall ensure that, in relation to the pool of athletes from which the National Team for any World Championships or Olympic Games is likely to be selected, there is an effective, intelligent and proportionate Testing plan maintained and implemented at national level that complies with the International Standard for Testing and Investigations and the requirements of Rule 15.6.1(b) ('Testing Plan').
- b. The Testing Plan must:
  - (i) have the objective of ensuring that athletes selected by a Member Federation for any World Championships or Olympic Games, and who are not already on the International Registered Testing Pool, are adequately tested prior to the relevant competition in accordance with the requirements of this Rule;
  - (ii) be in place, properly documented (including the names of all the athletes in the pool and applicable test distribution details) and notified to the Integrity Unit no later than 9 months prior to the relevant competition and thereafter kept up-to-date;
  - (iii) include in-competition Testing, no notice out-of-competition Testing and pre-competition blood Testing for screening purposes (Athlete Biological Passport) and analyses as prescribed under WADA's Technical Document on Sport-Specific Analyses (TDSSA);
  - (iv) provide for all samples to be analysed by WADA-accredited (or WADA-approved) laboratories for full menu analysis (or, in the case of ABP samples, for full ABP analysis);

- (v) provide for the results of tests to be recorded in a timely manner on ADAMS or otherwise to be notified in a form agreed by the Integrity Unit;
  - (vi) provide for co-operation and co-ordination between any Relevant Anti-Doping Organisation and the Integrity Unit in accordance with Rule 4.9 of the WADA International Standard for Testing and Investigations to further the objective set out in Rule 15.6.1(b)(i);
  - (vii) provide for reporting against the performance of the Testing Plan on the request of the Integrity Unit.
- c. For the purposes of Rule 15.6.1(a), each Member Federation shall ensure as a minimum that it:
- (i) communicates with the Relevant Anti-Doping Organisation about the Member Federation's obligations under this Rule 15.6.1;
  - (ii) requests and advocates for the support of the Relevant Anti-Doping Organisation to maintain and implement the Testing Plan;
  - (iii) if required, requests and advocates for funding to maintain and implement the Testing Plan;
  - (iv) engages with any Relevant Anti-Doping Organisation and the Integrity Unit from the earliest practicable time to provide information about the pool of athletes from which the National Team for any World Championships or Olympic Games is likely to be selected in order to develop an appropriate Testing Plan;
  - (v) keeps up to date the information referred to in Rule **15.6.1(c)(iii)** throughout the duration of the Testing Plan;
  - (vi) facilitates, requests and advocates for co-operation and co-ordination between any Relevant Anti-Doping Organisation and the Integrity Unit.

#### 15.6.2 Anti-Doping Oversight Function

- a. Each Category 'B' Member Federation shall have sufficient resources within its governance and/or management structure to oversee and ensure the organisation's compliance with the requirements of this Rule 15. Each Category 'B' Member Federation shall appoint one person as the primary contact for the Integrity Unit who shall have the requisite authority to represent the Member Federation.
- b. Each Category 'B' Member Federation shall, upon request, provide the Integrity Unit with details of the names, backgrounds and responsibilities of each person appointed to oversee and ensure the organisation's compliance with the requirements of this Rule 15 and shall keep such information up-to-date.

### 15.6.3 Anti-Doping Education

- a. A Category 'B' Member Federation shall use its best endeavours to ensure that every Athlete in a National Team for a World Athletics Series competition and all Athlete Support Personnel under its jurisdiction participating in such a competition are subject to mandatory anti-doping education programmes that provide updated and accurate information on at least the following issues: substances and methods on the Prohibited List, Anti-Doping Rule Violations, Consequences of doping, including sanctions, health and social consequences, doping control procedures, Athletes and Athletes Support Personnel's rights and responsibilities, TUEs, managing the risks of nutritional supplements, harm of doping to the spirit of sport and whereabouts requirements.
- b. Category 'B' Member Federations shall co-operate with the Integrity Unit with regards to the development and implementation of anti-doping education programmes.

### 15.6.4 Other Specific Obligations

In addition to the specific obligations set out in Rule 15.6 above, the Council, upon recommendation of the Integrity Unit Board, may impose such other obligations on a Category 'B' Member Federation as it deems fit and for such period as it deems to be reasonable and appropriate having regard to the specific circumstances of the Member Federation's anti-doping programme and/or the anti-doping situation in the Member Federation's jurisdiction.

## 15.7 Specific Obligations for Category 'C' Member Federations

### 15.7.1 Testing

- a. Category 'C' Member Federations shall take all reasonable steps to ensure that Athletes selected in the National Team for any World Championships or Olympic Games are subject to Testing prior to the Competition.
- b. Each Category 'C' Member Federation shall report on an annual basis in a form and manner as determined by the Integrity Unit, all Testing conducted at national level. The annual report shall include relevant details as determined by the Integrity Unit from time to time.

### 15.7.2 Anti-Doping Education

- a. A Category 'C' Member Federation shall use its best endeavours to ensure that every Athlete in a National Team for a World Athletics Series competition and all Athlete Support Personnel under its jurisdiction participating in such a competition are subject to mandatory anti-doping education programmes that provide updated and accurate information about the substances and methods on the Prohibited List, Anti-Doping Rule Violations and the Consequences of doping, including sanctions.

- b. Category 'C' Member Federations shall co-operate with the Integrity Unit with regards to the development and implementation of anti-doping education programmes.

## 15.8 Investigations by the Integrity Unit

- 15.8.1 The Integrity Unit shall have the power to conduct investigations into matters that it believes may evidence or lead to the discovery of evidence of an Anti-Doping Rule Violation or a breach of this Rule 15 by a Member Federation. Such investigations may be conducted in conjunction with, and/or information obtained in such investigations may be shared with, other Signatories and/or relevant authorities or other bodies. The Integrity Unit will have discretion, where it deems it appropriate, to stay its own investigation pending the outcome of investigations being conducted by other Signatories and/or relevant authorities or other bodies. The mere existence of another investigation does not entitle the subject of an investigation to seek a stay of the investigation being carried out by the Integrity Unit.
- 15.8.2 All Member Federations must co-operate and assist fully with any investigation conducted by the Integrity Unit pursuant to this Rule 15 or any other of these Anti-Doping Rules and a refusal or failure to do so without compelling justification shall be considered a serious breach of its obligations under these Anti-Doping Rules.
- 15.8.3 The Integrity Unit may make a written demand (Demand) to a Member Federation to provide the Integrity Unit with any information, record, article, or thing in its possession or control that the Head of the Integrity Unit reasonably believes may evidence or lead to the discovery of evidence of an Anti-Doping Rule Violation or a breach of this Rule 15 by a Member Federation.
- 15.8.4 Without limiting the foregoing, pursuant to Rule 15.8.3, the Integrity Unit may require a Member Federation to:
  - a. procure the attendance and co-operation of any of its office holders, employees, servants or agents before the Integrity Unit for an interview, or to answer any question, or to provide a written statement setting out their knowledge of any relevant facts and circumstances;
  - b. provide (or procure to the best of its ability the provision by any third party) for inspection, copying and/or downloading any records or files in hardcopy or electronic format, that the Head of the Integrity Unit believes in good faith may contain relevant information (such as itemised telephone bills, bank statements, ledgers, notes, files, correspondence, emails, messages, servers);
  - c. provide (or procure to the best of its ability the provision by any third party) for inspection, copying and/or downloading any electronic storage device in which the Head of the Integrity Unit believes in good faith relevant information may be stored (such as cloud-based servers, computers, hard drives, tapes, disks, mobile telephones, laptop computers, tablets and other mobile storage devices);

- d. provide full and unlimited access to the Member Federation's premises for the purpose of securing information, records, articles or things the subject of a Demand;
- e. provide passwords, login credentials and other identifying information required to access electronically stored records that are the subject of a Demand;
- f. procure the full co-operation of its office holders, employees, servants, agents, consultants and contractors in responding to the Demand.

15.8.5 Subject to Rule 15.8.6, a Member Federation must comply with a Demand in such reasonable period of time as determined by the Integrity Unit and set out in the Demand. Each Member Federation (and each of its office-holders, employees, servants, agents, consultants or advisers) waives and forfeits any rights, defences and privileges provided by any law in any jurisdiction to withhold any information, record, article, or thing requested in a Demand.

15.8.6 Where a Demand relates to any information, record, article or thing that in the opinion of the Head of the Integrity Unit is capable of being damaged, altered, destroyed or hidden (any electronic storage device, or electronically stored information shall be deemed to meet this criteria), then for the purposes of evidence preservation, the Integrity Unit may require a Member Federation to comply immediately with the Demand. In such a case:

- a. the Member Federation must immediately comply with the Demand and permit the Integrity Unit to take immediate possession of, copy and/or download the information, record, article or thing, however, the Integrity Unit may not immediately inspect the same;
- b. a Member Federation has 7 days from receipt of the Demand to file an objection to the Demand by requesting a review by the chairperson of the Disciplinary Tribunal (or their delegate) in accordance with Rule 15.8.7;
- c. if a Member Federation does not file an objection within 7 days of receipt of the Demand, or notifies the Integrity Unit that it does not object to the Demand, or the Disciplinary Tribunal rules that the Demand is valid, the Integrity Unit may forthwith inspect the information, record, article or thing and otherwise make use of it in accordance with this Rule;
- d. if the Disciplinary Tribunal rules the Demand to be invalid, the information, record, article or thing and any copy or download of same shall either be immediately returned or destroyed as the case requires;
- e. in all cases under this Rule, the requirement of **Rule 15.8.6(a)** for a Member Federation to immediately comply with a Demand is paramount and a failure to do so shall be deemed to be a serious breach of Rule 15.8.2 incapable of remedy.

- 15.8.7 A Member Federation may object to a Demand on the basis that it does not comply with the requirements of Rule 15.8.3 or 15.8.4 by application to the chairperson of the Disciplinary Tribunal within 7 days of receiving the Demand. Where such an application is made, subject always to **Rule 15.8.6(a)**, the time for complying with a Demand shall be stayed pending the outcome of the objection. The chairperson of the Disciplinary Tribunal or their delegate shall hear such an objection with as much expediency as the justice of the case permits and, unless exceptional circumstances apply, such hearing shall be by way of written evidence and submissions. The ruling of the Disciplinary Tribunal as to the validity of the Demand shall not be subject to appeal. If a Demand is set aside, it shall not preclude the making of any other valid Demand in relation to the same investigation.
- 15.8.8 If a Member Federation or Area Association fails to comply with a Demand that has not been ruled invalid under Rule 15.8.7, it shall constitute a serious breach of Rule 15.8.2 and be sanctioned with the highest degree of fault.
- 15.8.9 Any information, record, article or thing provided to the Integrity Unit under **this Rule** will be kept confidential except where it is disclosed for the purpose of furthering the investigation or as part of proceedings relating to a possible Anti-Doping Rule Violation or breach of any of the Rules, or when such information, record, article or thing is reported to administrative, professional or judicial authorities pursuant to an investigation or prosecution of non-sporting laws or regulations, or is otherwise required by law.
- 15.8.10 If a Member Federation obstructs or delays an investigation (e.g., by providing false, misleading or incomplete information or documentation and/or by tampering or destroying any documentation or other information that may be relevant to the investigation), this may itself constitute an independent serious breach of these Anti-Doping Rules.
- 15.9 Monitoring and Referral to Council by the Integrity Unit
- 15.9.1 The Integrity Unit shall have the power to monitor the anti-doping processes, practices and activities (Anti-Doping Programmes) of Member Federations to assist in the proper categorisation of Member Federations under Rule 15.3 and to ensure the compliance of Member Federations with their obligations under this Rule 15.
- 15.9.2 In furtherance of its power under Rule 15.8.3, the Integrity Unit may require a Member Federation to produce any record, supply any information, compile any report or data and answer any questions as the Integrity Unit considers to be necessary from time to time and to do so within a reasonable time. The Integrity Unit may prioritise its compliance monitoring in particular areas and/or in particular countries.
- 15.9.3 If the Integrity Unit Board considers that a Member Federation is in breach of this Rule 15, it may:
- a. give the Member Federation the opportunity to address the non-compliance within a specified timeframe and so achieve compliance;
  - or

- b. issue the Member Federation with a notice of charge in relation to an alleged breach of these Anti-Doping Rules and give the Member Federation a reasonable period of time in which to respond to the notice. After consideration of any response, the Integrity Unit Board may refer the matter to Council to be dealt with in accordance with Rule 16, together with such recommendation(s) as the Integrity Unit Board sees fit.
- 15.9.4 If a Member Federation fails to address its non-compliance when given the opportunity to do so in accordance with Rule 15.9.3(a), the Integrity Unit Board may refer the matter to the Council in accordance with Rule 15.9.3(b).
- 15.9.5 In the interests of transparency and accountability, the Integrity Unit may publish as much detail as it considers appropriate about its general compliance monitoring programme.

## **16. Sanctions Against Member Federations**

- 16.1 Where any of the following circumstances apply, the Council shall have authority to impose one or more of the sanctions referred to in Rule 16.2 on any Member Federation and to do so subject to any conditions it sees fit:
- a. a Member Federation is in breach of its obligations under Rule 15 of these Anti-Doping Rules;
  - b. three or more Anti-Doping Rule Violations have been committed by International-Level Athletes, Athlete Support Personnel or other Persons from a Member Federation within a period of 1 year starting from the date of the first Anti-Doping Rule Violation and, having regard to the number and seriousness of the violations, the number of Athletes competing internationally from the Member Federation and the relevant time frame concerned, the Council is of the opinion, in its entire discretion, that the Member Federation has thereby brought World Athletics into disrepute.
- 16.2 In accordance with Rule 16.1, the Council may:
- a. suspend the Member Federation until the next meeting of the Congress or for any shorter period;
  - b. provisionally suspend a Member Federation pending a hearing;
  - c. caution or censure the Member Federation;
  - d. issue fines against the Member Federation;
  - e. withhold grants or subsidies from the Member Federation;
  - f. exclude the Member Federation's Athletes from any one or more International Competition;
  - g. limit the number of the Member Federation's Athletes, Athlete Support Personnel and other Persons permitted to compete in any one or more International Competition;



- h. remove or deny accreditation to the Member Federation's officers or other representatives;
  - i. impose any other sanction it may deem to be appropriate.
- 16.3 In imposing sanctions in accordance with Rule 16.2 above, the Council shall have regard to the nature and seriousness of the Member Federation's non-compliance taking into account both the degree of fault of the Member Federation and the potential impact of its non-compliance on clean sport in Athletics. In terms of degree of fault, the obligation of a Member Federation to comply under these Rules is absolute, and so any alleged lack of intent or other fault is not relevant in establishing breach, but the level of fault or negligence on the part of the Member Federation may be taken into consideration in determining the sanction imposed. In particular, if a Member Federation's obligations have been delegated or assigned to a Relevant Anti-Doping Organisation, it shall be a relevant consideration whether the Member Federation has actively and continuously monitored the Relevant Anti-Doping Organisation's activities and where necessary, taken reasonable steps to ensure compliance with these Anti-Doping Rules. Above all else, the sanction imposed should be sufficient to maintain the confidence of all Athletes, and the public at large, in the commitment of World Athletics and the Integrity Unit to do what is necessary to defend the integrity of the sport of Athletics against the scourge of doping.
- 16.4 All fines under **Rule 16.2(d)** shall be paid within a time to be determined by the Council, failing which the Member Federation's Athletes, Athlete Support Personnel and other Persons may be excluded from International Competition until the fine is settled in full.
- 16.5 In any case where the Council has issued a sanction against a Member Federation under these Anti-Doping Rules, such a decision shall be published on the Integrity Unit and World Athletics websites and reported to the next Congress.
- 17. Application and Recognition of Decisions**
- 17.1 Any final decision taken in accordance with these Anti-Doping Rules shall be automatically recognised by World Athletics and its Members which shall take all necessary action to render such decisions effective.
- 17.2 Subject to the right of appeal provided in Rule 13, Testing, hearing results or other final **adjudications of** any Signatory which are consistent with the Code and are within the Signatory's authority, shall be recognised and respected by World Athletics and its Members. In the case of an adjudication of the IOC arising from an anti-doping rule violation occurring at the Olympic Games, World Athletics and its Members shall recognise the finding of an Anti-Doping Rule Violation once it becomes final under applicable rules and shall thereafter submit the determination of the Athlete or other Person's sanction beyond disqualification from the Olympic Games to the results management process provided in Rules 7 and 8.
- 17.3 Subject to any right of appeal, measures taken by other bodies that have not accepted the Code shall also be recognised and respected by World Athletics and the Member Federations and Area Associations if the Integrity Unit is satisfied that the rules of those bodies are otherwise consistent with the Code.

## 18. Statute of Limitations

No Anti-Doping Rule Violation proceeding may be commenced under these Anti-Doping Rules against an Athlete or other Person unless they have been notified of the Anti-Doping Rule Violation as provided in Rule 7 and/or Rule 8, or notification has been reasonably attempted, within 10 years from the date the violation is asserted to have occurred.

## 19. Education

19.1 The Integrity Unit shall plan, implement, evaluate and monitor information, education and prevention programmes for doping-free sport in Athletics on at least the issues listed below and shall promote active participation by Athletes and Athlete Support Personnel in such programmes.

19.2 At a minimum, the anti-doping education programme will include information on the following issues:

- Substances and methods on the Prohibited List
- Anti-Doping Rule Violations
- Doping Control procedures
- Whereabouts requirements
- TUEs
- Consequences of Doping, including sanctions, health and social consequences
- Athletes and Athlete Support Personnel's rights and responsibilities
- Managing the risk of Nutritional Supplements
- Harms of doping to the spirit of sport

19.3 **Programmes and Activities:** The anti-doping education programme and activities will seek to promote doping-free Athletics. The programme and activities shall be designed to establish an environment that is strongly conducive to doping-free sport that will have a positive and long-term influence on the choices made by Athletes and Athlete Support Personnel. They emphasize the importance of ethics and fair Athletics.

## 20. Interpretation

20.1 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.

- 20.2 These Anti-Doping Rules shall be interpreted in a manner that is consistent with the Code. The Code shall be interpreted as an independent and autonomous text and not by reference to the existing law or statutes of any Signatory or government. The comments annotating various provisions of the Code and the International Standards shall be used to interpret these Anti-Doping Rules.
- 20.3 Subject to Rule 20.2 above, these Anti-Doping Rules shall be governed by and construed in accordance with Monegasque law.
- 20.4 The Definitions shall be considered as an integral part of these Anti-Doping Rules. Terms used in these Anti-Doping Rules beginning with capital letters shall have the meaning given to them in the Definitions.

## **21. Transitional Provisions**

- 21.1 These Anti-Doping Rules shall apply in full to all cases where the alleged Anti-Doping Rule Violation occurs after the Effective Date.
- 21.2 Any case pending prior to the Effective Date, or brought after the Effective Date but based on an Anti-Doping Rule Violation that occurred before the Effective Date, shall be governed, with respect to substantive matters, by the predecessor version of the anti-doping rules in force at the time the Anti-Doping Rule Violation occurred and, with respect to procedural matters by (i) for Anti-Doping Rule Violations committed on or after 3 April 2017, these Anti-Doping Rules and (ii) for Anti-Doping Rule Violations committed prior to 3 April 2017, the 2016-2017 Competition Rules. Notwithstanding the foregoing, (i) Rule 10.7.5 of these Rules shall apply retroactively, (ii) Rule 18 of these Rules shall also apply retroactively, unless the statute of limitations applicable under the predecessor version of the Rules had already expired by the Effective Date; and (iii) the relevant tribunal may decide it appropriate to apply the principle of *lex mitior* in the circumstances of the case.
- 21.3 Anti-Doping Rule Violations committed prior to the Effective Date, whether under predecessor versions of the Anti-Doping Rules and/or other relevant rules, count as prior offences for purposes of determining sanctions under Rule 10, including Rule 10.7 and in particular Rule 10.7.5. If the sanction for the first violation was determined based on rules that pre-dated the 2015 Code, then for purposes of Rule 10.7.1, that sanction shall be disregarded and instead the sanction that would have been imposed for the first violation if rules compliant with the 2015 Code had applied will be used.
- 21.4 Whereabouts Failures committed under the predecessor version of these Anti-Doping Rules, prior to the Effective Date, shall count for the purposes of Rule 2.4 until 12 months after they were committed.**