PROTOCOL
FOR OLYMPIC AND PARALYMPIC MOVEMENT TESTING
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The provisions of the United States Anti-Doping Agency ("USADA") Protocol for Olympic and Paralympic Movement Testing, including its Annexes, (as amended from time to time, the “Protocol” or “USADA Protocol”) implement the requirements of the World Anti-Doping Code (the “Code”¹) and its related International Standards on a national basis within the United States. As required by the Code and United States Olympic & Paralympic Committee (“USOPC”) National Anti-Doping Policy (“NADP”), all United States National Governing Bodies (“NGBs”)² must comply in all respects with this Protocol and shall be deemed to have incorporated the provisions of this Protocol into their rulebooks as if they had set them out in full therein.

1. USADA’s Mission

For purposes of the Code and various World Anti-Doping Agency (“WADA”) International Standards, including but not limited to the International Standard for Results Management (the “ISRM”) and the International Standard for Testing and Investigations (the “ISTI”), USADA is authorized by the U.S. Congress to serve as the National Anti-Doping Organization (“NADO”) for the United States of America. USADA’s mission is to stand with Athletes to champion their right to clean sport, inspire true and healthy sport, and promote the integrity of sport.

2. USADA’s Relationship with the United States Olympic & Paralympic Committee

USADA is an independent legal entity not subject to the control of the USOPC. The USOPC has contracted³ with USADA to conduct drug Testing, manage test results and Therapeutic Use Exemption (“TUE”) and whereabouts processes, investigate potential violations of anti-doping rules, and adjudicate disputes involving anti-doping rule violations for Participants in the Olympic and Paralympic movements, and to provide Educational information to those Participants who are affiliated with NGBs. For purposes of transmittal of information by USADA, the USOPC is USADA’s client. However, the USOPC has authorized USADA to transmit information simultaneously to the relevant NGB, International Federation (“IF”), International Olympic Committee (“IOC”), International Paralympic Committee (“IPC”), World Anti-Doping Agency (“WADA”), and National Anti-Doping Organizations ("NADOs") as required by the Code and the USOPC NADP.

¹ Capitalized and italicized terms have the meaning set forth in the Definitions Sections of the Code, the ISRM and the ISTI.

² For the purposes of this Protocol, the term “NGB” is as defined in the USOPC bylaws and includes national governing bodies of individual sports recognized by the USOPC, Olympic Sport Organizations, and Pan American Sport Organizations and Paralympic Sport Organizations recognized by the USOPC.

³ Where there are references to USOPC payments in the Protocol, those references are subject to the terms of the contract between USADA and the USOPC.
International Paralympic Committee ("IPC"), WADA, and the involved Athlete, Athlete Support Person, or other Person, and other persons and entities as appropriate. USADA’s jurisdiction is not limited by its contract with the USOPC and USADA has full authority to undertake all activities permitted by its Articles of Incorporation, Bylaws, and this Protocol.

3. **USADA’s Relationship with Other Organizations**

In addition to providing anti-doping services to the USOPC, USADA also provides anti-doping programs and Doping Control services for other sporting bodies in the United States and around the world on a contract basis. Under such contracts, the Protocol may apply mutatis mutandis. USADA regularly collaborates with other organizations to advance the causes of Athlete health and ethical sport.

4. **Athletes Subject to the Protocol and Testing by USADA**

The USOPC, NGBs, other sports organizations and the Code authorize USADA to test, investigate, and conduct other anti-doping activities concerning Athletes who:⁴

a. Are a member or license holder of, or under contract with, an NGB or sports organization for whom USADA is authorized to conduct any aspect of Doping Control;

b. Are a member of, or the recipient of a license from, an IF or other Code Signatory or a member of a Signatory;

c. Participate in sport including by registering or preparing for or participating in an Event or Competition in the United States or which is organized or sanctioned by the USOPC, an NGB or a sport organization for whom USADA is authorized to conduct any aspect of Doping Control;

d. Apply for (including participating in any qualifying Event or other step in the selection process), or are selected to, a U.S. national, Olympic, Paralympic, Pan American, Parapan American, Youth Olympic team or other team representing the USOPC or NGB in an International Event;

e. Apply for a change of sport nationality to the United States;

f. Are present in the United States;

g. Receive benefits from the USOPC or NGB;

h. Register for or uses any USOPC training center, training site or other facility;

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⁴ The following list is meant to define the scope of the term Athlete for purposes of this Protocol.
i. Give their consent to Testing by USADA;

j. If a U.S. Athlete submits, or is required to submit, a Whereabouts Filing to USADA or an IF within the previous twelve (12) months and has not given his or her IF, NGB, and USADA written notice of retirement;

k. Are included in the USADA Registered Testing Pool (“RTP”) or the USADA Clean Athlete Program (“CAP”);

l. Have been previously sanctioned by USADA or other Anti-Doping Organization (“ADO”) for an anti-doping rule violation, and are serving a period of Ineligibility on account of an anti-doping rule violation and who have not given prior written notice of retirement from all sanctioned Competition to the applicable IF, NGB, and USADA, or the applicable foreign anti-doping agency or foreign sport association;

m. Are subject to Testing under authorization from the USOPC, NGB, IF, any NADO, WADA, the IOC, the IPC, any other ADO, any other sports organization, or the organizing committee of any Event or Competition; or

n. USADA is entitled to test under the rules of any ADO or sports organization.

WADA shall also have In-Competition and Out-of-Competition Testing authority over any of the above-mentioned Athletes.

USADA will not allow the Testing process to be used to harass any Athlete.

Athletes also subject themselves to USADA’s authority through their participation in sport as set forth in the USOPC NADP and as provided in the Code and the rules of various sports organizations.

5. Application of the Protocol to Athlete Support Personnel and Other Persons

Athlete Support Personnel subject themselves to USADA’s authority through their participation in sport as set forth in the USOPC NADP and/or as provided in the Code and the rules of various sports organizations. Furthermore, USADA has authority to conduct anti-doping activities, including, but not limited to, information processing and disclosure, investigation, and Results Management in relation to Athlete Support Personnel and other Persons as described below.

a. In light of the foregoing, this Protocol shall also apply to:

i. All Persons involved in any aspect of Doping Control and all Athlete Support Personnel who are employed or credentialed by the USOPC or USADA or who are members of any NGB and/or of member or affiliate organizations or licensees of any NGB (including any clubs, teams, associations or leagues);
ii. All Athlete Support Personnel or other Persons participating in any capacity in Events, Competitions and other activities organized, authorized or recognized by the USOPC, any NGB or any NGB member, affiliate organization or licensee (including any clubs, teams, associations or leagues), wherever held;

iii. Any Athlete Support Person or other Person who is assisting any Athlete, team or Athlete Support Person in connection with any Event or Competition in which USADA is conducting Doping Controls or in connection with any sport in which USADA has authority to conduct Out-of-Competition or In-Competition Testing or any Event or Competition in the United States conducted by a Code Signatory;

iv. Any Athlete Support Person or other Person who is subject to USADA’s investigatory authority and/or USADA’s Results Management authority by operation of the Code or the rules of any IF or other sports organization;

v. Any other Athlete Support Person or other Person who, by virtue of a contractual arrangement or otherwise, is subject to the jurisdiction of any NGB or the USOPC for purposes of anti-doping, regardless of whether such individual is a citizen or resident of the United States; and

vi. Any Board member, director, officer of USADA, the USOPC, or any NGB.

b. To be a member of any NGB and/or a member of any affiliate organization or licensee of any NGB, or to be eligible to assist any participating Athlete in any Event, Competition or other activity organized, authorized or recognized by the USOPC, any NGB or any NGB member, affiliate organization or licensee (including any clubs, teams, associations or leagues), a Person must agree to be bound by and to comply with this Protocol. Accordingly, by becoming such a member or by so assisting, a Person shall be deemed to have agreed:

i. To be bound by and to comply strictly with this Protocol;

ii. To submit to the authority of the USOPC, the NGB and USADA to apply and enforce this Protocol;

iii. To provide all requested assistance to the NGB, USOPC and USADA (as applicable) in the application, policing and enforcement of this Protocol, including (without limitation) cooperating fully with any investigation, Results Management, and/or proceeding being conducted pursuant to this Protocol in relation to any potential anti-doping rule violation(s);

iv. To submit to the jurisdiction of any hearing body convened under this Protocol to hear and determine the existence of any potential anti-doping rule violation(s) and related issues arising under this Protocol;
v. To submit to the jurisdiction of any appellate body convened under this Protocol to hear and determine appeals made pursuant to this Protocol; and

vi. Not to bring any proceedings in any court or other forum that are inconsistent with the foregoing submission to the arbitral jurisdiction of the hearing or appellate bodies referenced in subsections 5(b)(iv) and 5(b)(v) above.

For the avoidance of doubt, nothing in this Protocol shall be interpreted as limiting the functions and obligations of USADA as a Signatory to the Code. Nothing in this Protocol prevents USADA from undertaking Doping Control, Results Management, and/or any other anti-doping activity in accordance with any agreement or arrangement with any other Anti-Doping Organization, IF, or other Code Signatory, or in accordance with any right or obligation arising under the Code.

6. Choice of Rules

In conducting Testing and Results Management under this Protocol, USADA will apply the following rules and principles:

a. Articles of the Code set forth in Annex A, which is incorporated by reference into the USADA Protocol, shall apply in all cases. The Commentary of the Code shall have the same status under Annex A that the Commentary has in the Code.

b. The selection and collection procedures set forth in sections 7, 8, & 10 herein shall apply to all Testing conducted by USADA unless different procedures are agreed to between USADA and the party requesting the test.

c. USADA shall be responsible for Results Management of the following: (1) tests initiated by USADA, unless otherwise referred by USADA to a foreign sports organization having jurisdiction over the Athlete, Athlete Support Person, or other Person, (2) all other tests for which the applicable IF rules require the initial adjudication to be done by a domestic body (if responsibility for Results Management is accepted by USADA), and (3) other potential violations of Annex A, the applicable IF’s anti-doping rules, the USOPC NADP, or the USADA Protocol involving any Athlete described in section 4 of this Protocol, or any Athlete Support Personnel or other Persons described in section 5 including, without limitation, all potential violations discovered by USADA, unless otherwise referred by USADA to a foreign sports organization having jurisdiction over the Athlete, Athlete Support Person, or other Person. Subject to Code Articles 7.11 and 7.15, USADA is not obligated to accept the referral of Results Management authority in cases that do not involve a U.S. International-Level Athlete or National-Level Athlete, as defined by the Code, the IF, and/or the Protocol. Where, pursuant to an agreement, USADA executes tests initiated by an IF, regional or continental sports
organization or other Olympic movement sporting body, other than the USOPC or NGB, then
Results Management shall be governed by the USADA Protocol unless otherwise specified in
the testing agreement or unless USADA, in its sole discretion, refers the potential violation
to the organization that initiated the test.  

d. In the event USADA did not initiate and direct Sample collection but the Sample collection
was undertaken by an organization that applies the USADA Protocol or that intended
to refer the matter to USADA for Results Management, USADA may conduct Results
Management if it chooses to do so.

e. If no Sample collection is involved, and USADA first provides notice to an Athlete, Athlete
Support Person, or other Person of a potential anti-doping rule violation and then diligently
pursues that anti-doping rule violation, the USADA Protocol shall apply to the matter unless
the rules of an IF or other ADO apply.

f. Any procedural rule of any entity for which USADA is conducting Testing or Results
Management which is inconsistent with this Protocol shall be superseded by this Protocol.

g. The USOPC has adopted the USOPC NADP, which affects Athletes’ or other Persons’ eligibility
for USOPC teams and benefits.

h. USADA shall apply the WADA Prohibited List then in effect at the time of Sample collection.
Unless provided otherwise in the Prohibited List or a revision, the Prohibited List and
revisions shall go into effect three months after publication of the Prohibited List by WADA
without requiring any further action by USADA.

7. Selection of Athletes to be Tested In-Competition

USADA shall have the authority to determine which Athletes will be selected for Testing in all
Events or Competitions tested by USADA. In making this determination, USADA may follow NGB or
IF selection criteria when available. USADA retains the right to test any Athlete subject to Testing
as provided in section 4 of this Protocol that it chooses with or without cause or explanation.

8. Selection of Athletes to be Tested Out-of-Competition

USADA shall have the authority to determine which Athletes will be selected for Out-of-
Competition Testing by USADA. In making this determination, USADA will carefully consider

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5 In all cases where USADA incurs significant costs related to a case that results in benefits to the global anti-doping system, USADA may seek contribution from other ADOs benefitted by USA's actions.
selection formulas or requests for target selection of particular Athletes which are proposed by the USOPC or a particular NGB. USADA retains the right to test any Athlete subject to Testing as provided in section 4 that it chooses, with or without cause or explanation.

If an IF or Major Event Organization delegates or contracts any part of Testing to USADA directly or through another organization, USADA may collect additional Samples or direct the laboratory to perform additional types of analysis at USADA's expense. If additional Samples are collected or additional types of analysis are performed, the IF or Major Event Organization shall be notified.

9. USADA Testing Pools

USADA shall make the final determination regarding inclusion of any Athlete in the USADA RTP or USADA CAP. Unless otherwise agreed by USADA, at specified deadlines, each NGB will provide USADA with updated contact information of Athletes, proposed by USADA or agreed upon with the NGB, to be included in the USADA RTP and USADA CAP. The NGB will provide USADA with initial contact information which shall, at a minimum, include accurate residential, mailing and email addresses (if available), date of birth, and phone numbers for each Athlete designated for inclusion in the RTP and CAP. After USADA notifies the Athlete of the Athlete's inclusion in the RTP or CAP, it shall be the responsibility of each individual Athlete to submit to USADA his or her Whereabouts Filing and thereafter to provide USADA with updated information specifying his or her whereabouts. USADA shall also inform Athletes when they are removed from the RTP or CAP.

a. For Athletes included in the RTP, the information provided on each Whereabouts Filing, whereabouts update and/or change of plan form must comply with requirements set forth in the ISTI and USADA Whereabouts Policy.

b. For Athletes included in the CAP, the information provided on each Whereabouts Filing is required to be updated if at any point the information provided becomes inaccurate. The information provided on each Whereabouts Filing and update must conform with the requirements in the USADA Whereabouts Policy. Submission of each Whereabouts Filing shall be accomplished electronically via means provided or approved by USADA.

Within the timeframe established by USADA after notification of inclusion within the RTP or CAP and prior to the submission of the Whereabouts Filing for the first quarter in each calendar year, each Athlete in the RTP or CAP must successfully complete the USADA online Education module or an alternative Education program provided or approved by USADA.

USADA shall make available to the USOPC a list of all U.S. Athletes in the RTP and CAP, and shall make available to NGBs, IFs, and WADA a list of the U.S. Athletes in their respective sports who are enrolled in the RTP or CAP.
10. **Sample Collection**

Sample collection by USADA, and third parties authorized by USADA to collect Samples for USADA, including other ADOs pursuant to bilateral or multilateral agreements or other Delegated Third Parties, will conform to the standards set forth in the ISTI. As provided in the Code and ISTI, a departure from the ISTI standards will not necessarily invalidate a Sample or other related evidence.

11. **Laboratory Analysis**

Samples collected by USADA shall be analyzed in WADA-accredited laboratories or as otherwise approved by WADA for anti-doping purposes only. In analyzing Samples and reporting results for USADA, WADA-accredited laboratories shall follow the WADA International Standard for Laboratories (“ISL”). As provided in the Code and ISL, a departure from the ISL standards will not necessarily invalidate a Sample result or other related evidence.

12. **General Notification Procedures**

Notification to an Athlete, Athlete Support Person, or other Person may be accomplished either through actual notice or constructive notice. Constructive notice is sufficient for all purposes for which notification is required under this Protocol.

a. Actual notice may be accomplished by any means that conveys actual knowledge of the matter to the Athlete, Athlete Support Person, or other Person. Actual notice shall be effective upon delivery of the communication.

b. Constructive notice may be accomplished by third-party courier, U.S. postal mail, or by email. Notice via third-party courier or U.S. Postal mail shall be sent to the Athlete’s or other Person’s most recent mailing address on file with USADA or on file with the Athlete’s or other Person’s NGB. Also, if the Athlete, Athlete Support Person, or other Person has provided USADA with the Athlete’s or other Person’s designated representative, notice may be sent to that Person’s most recent mailing address. Notice shall be achieved if the third-party courier indicates delivery or if the U.S. postal mail is not returned. Notice via email shall be sent to the Athlete’s or other Person’s most recent email address on file with USADA or on file with the Athlete, Athlete Support Person, or other Person’s NGB. Also, if the Athlete, Athlete Support Person, or other Person has provided USADA with the Athlete, Athlete Support Person, or other Person’s designated representative, notice may be sent to that Person’s most recent email address. Notice shall be achieved if USADA does not receive a return communication notice indicating that the email was not delivered. Constructive notice shall be effective three (3) business days after delivery by the third-party courier, five (5)
business days after depositing the notice with the U.S. Postal Service, or three (3) business
days after sending the email.

c. If constructive notice cannot be accomplished pursuant to section 12(b) above, then notice
may be achieved by actual notice to the Athlete, Athlete Support Person, or other Person’s
NGB. Such notice shall be effective five (5) business days after delivery.

d. Notice sent by email can be but need not be also sent by third party courier or U.S. mail.

13. Initial Notification Procedures

a. USADA will use the following procedures with respect to each Sample collected by USADA:

i. Upon receipt of a negative laboratory report, USADA will promptly make that result
available to the USOPC, and NGB, as applicable, or to the sports organization, Event
organizer, or ADO for which USADA conducted the test. The negative result will also
be made available to the Athlete electronically via means provided or approved by
USADA and a notification will be emailed to the most recent email address on file with
USADA, the email address on the Doping Control Official Record (“DCOR”), the email
address on any other form signed by the Athlete at the time of notification for Doping
Control and/or at the time of Sample collection and processing, or the email address
on the Whereabouts Filing on file with USADA.

ii. Upon receipt from the laboratory of an A Sample Adverse Analytical Finding or Adverse
Passport Finding, USADA will promptly conduct a review to determine whether an
applicable TUE has been granted or will be granted, whether there is any apparent
departure from the ISTI or ISL that caused the Adverse Analytical Finding, or whether
it is apparent that the Adverse Analytical Finding was caused by an ingestion of
the relevant Prohibited Substance through a permitted route. If this review does
not reveal an applicable TUE, departure from the applicable standards, or that it
is not apparent that the Adverse Analytical Finding was caused by an ingestion of
the relevant Prohibited Substance through a permitted route, USADA will promptly
notify, as appropriate, the USOPC, NGB, IF, WADA and other sports organization, Event
organizer or ADO for which USADA conducted the test and the Athlete at the email
address on the Whereabouts Filing on file, or if no form is on file, at the email address
on the DCOR, and shall advise the Athlete of their right to have the B Sample analysis
performed and failing such request within seven days of notice, that the B Sample
analysis may be deemed irrevocably waived. If performed, the Athlete may attend the
B Sample analysis accompanied by a representative or may have a representative
appear on his or her behalf, at the expense of the Athlete. Except as provided in
section 16(b) of this Protocol, prior to the B Sample opening, USADA shall provide to the Athlete the Abbreviated A Sample laboratory documentation as set forth in Annex B, and copies of the Protocol and the Code or a web link to those documents.

iii. In all cases where an Athlete, Athlete Support Person, or other Person has been notified of a potential anti-doping rule violation, USADA shall provide the Athlete, Athlete Support Person, or other Person the contact information of the USOPC Athlete Ombuds, the opportunity to request a copy of the full A Sample Laboratory Documentation Package, the opportunity to provide an explanation within a short deadline, to provide Substantial Assistance, to admit the anti-doping rule violation and potentially benefit from a one-year reduction in the period of Ineligibility under Code Article 10.8.1 (if applicable), or to seek to enter into a case resolution agreement under Code Article 10.8.2.

iv. Upon receipt of the laboratory’s B Sample report, USADA shall promptly give notice of the result to the Athlete, the USOPC, NGB, IF, WADA and other sports organization, Event organizer or ADO for which USADA conducted the test. If the B Sample analysis confirms the A Sample analysis, USADA shall then provide to the Athlete the full A and B Sample documentation package, in accordance with the ISL. The laboratory shall not be required to produce any documentation in addition to the documentation required by the ISL unless ordered to do so by an arbitrator during adjudication.

v. Upon receipt from the laboratory of an Atypical Finding, USADA will promptly conduct a review to determine whether an applicable TUE has been granted or will be granted, whether there is any apparent departure from the ISTI or ISL that caused the Atypical Finding, whether it is apparent that the Adverse Analytical Finding was caused by an ingestion of the relevant Prohibited Substance through a permitted route, and whether further investigation is required should the review not reveal an applicable TUE or departure that caused the Atypical Finding. Except as provided below, USADA is not required to provide notice of an Atypical Finding until after USADA has completed its investigation to determine whether the Atypical Finding will be brought forward as an Adverse Analytical Finding. Prior to a determination concerning whether the Atypical Finding will be brought forward as an Adverse Analytical Finding, USADA may provide notice to other sport organizations of an Atypical Finding and of the current progress of any investigation pertaining to the Atypical Finding in the following situations:

1. If USADA determines that the B Sample should be analyzed prior to the conclusion of USADA’s investigation, USADA will provide notice to the Athlete,
USOPC, NGB, IF, WADA and other sports organization, event organizer or ADO for which USADA conducted the test, as applicable, and permit the same opportunity to attend the B Sample opening and analysis as if the A Sample finding had been an Adverse Analytical Finding;

(2) If USADA receives a request from the USOPC, NGB, or another sport organization responsible for meeting an imminent deadline for selecting team members for an International Event, or from a Major Event Organization shortly before one of its International Events to disclose whether any Athlete identified on a list provided by the Major Event Organization or USOPC, NGB or other sport organization responsible for meeting an imminent deadline for selecting team members has a pending Atypical Finding, USADA may identify any such Athlete with an Atypical Finding after first providing notice of the Atypical Finding to the Athlete.

vi. In circumstances where USADA is conducting Testing for an IF, ADO, regional or continental sports organization, other Olympic movement sporting body or other sports organization or Event organizer, the notification described in this section shall be made as provided herein unless specified otherwise in the testing agreement.

b. If USADA determines that an Athlete, Athlete Support Person, or other Person may have committed an anti-doping rule violation as described in Annex A other than resulting from an Adverse Analytical Finding or Adverse Passport Finding, then at such time as USADA charges the Athlete, Athlete Support Person, or other Person with an anti-doping rule violation or imposes a Provisional Suspension for which the Athlete can opt out, USADA shall provide notice of such potential violation to, as appropriate, the USOPC, NGB, IF, WADA and other sports organization, Event organizer or ADO.

14. Provisional Suspensions

a. Mandatory Provisional Suspension: In the event that the laboratory reports an Adverse Analytical Finding on an A Sample for a Prohibited Substance and/or a Prohibited Method, other than a Specified Substance or Specified Method⁶ or reports an Adverse Passport Finding, in a notice letter (described above) USADA will inform the Athlete that a Provisional Suspension shall be imposed unless the Athlete challenges the imposition of the Provisional Suspension by requesting, in writing, a Provisional Hearing within three (3) calendar days of USADA’s notice. Such time period may be shortened by USADA if the Athlete intends to

⁶ Defined in Article 4.2.2 of the Code.
compete in a Competition that is scheduled close in time to the imposition of the Provisional Suspension. For good cause, if established prior to the expiration of the challenge period, USADA may extend the period for a challenge of the Provisional Suspension by up to an additional four (4) calendar days. If the Athlete does not contest the Provisional Suspension, the Provisional Suspension will go into effect and the Athlete's case will proceed on the Standard Results Management Track set forth in section 16(a) below. If the Athlete challenges the Provisional Suspension proposed by USADA, but a Provisional Hearing is not initiated as provided for below, the Athlete's case will proceed on the Expedited Results Management Track set forth in section 16(b) below.

i. The sole issue to be determined by the arbitrator at a Provisional Hearing will be whether USADA's decision that a Provisional Suspension should be imposed shall be upheld. A mandatory Provisional Suspension may be eliminated if the Athlete, Athlete Support Person, or other Person demonstrates that the potential violation likely resulted from the use of a Contaminated Product or involves a Substance of Abuse and the Athlete establishes entitlement to a reduced period of Ineligibility as provided for in the Substance Abuse provisions of the Code. It shall not be necessary for any B Sample analysis to have been completed for a Provisional Suspension to be upheld. Prior to any Provisional Hearing USADA shall provide to the Athlete any and all laboratory documentation in the possession of USADA for the Sample in question. This decision shall not be appealable. The Provisional Suspension is defined in the definition of Consequences of Anti-Doping Rule Violations and in Article 10.14.1 of the Code and shall make the Athlete, Athlete Support Person, or other Person Ineligible to participate in any Competition or Event or to be a member of, or included on, any team organized or nominated by the USOPC or any NGB and shall be in effect until the case is concluded.

ii. Within three (3) business days of an arbitrator's decision not to overturn a Provisional Suspension against an Athlete, Athlete Support Person, or other Person pursuant to the Provisional Hearing process set forth above, the Athlete, Athlete Support Person, or other Person may submit a written request to the Provisional Hearing arbitrator that his or her case be heard pursuant to the Expedited Results Management Track set forth below. The Provisional Suspension arbitrator may grant such a request on good cause shown.

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7 See Code Article 10.2.4.1.
b. **Optional Provisional Suspension**: In the event that the laboratory reports an *Adverse Analytical Finding* on an *A Sample* for a *Specified Substance* or *Specified Method*, or in cases that do not result from a positive test for a *Prohibited Substance* (i.e., “non-analytical cases”), USADA shall impose a *Provisional Suspension* but the *Athlete* shall have the right to opt out of the imposition of the *Provisional Suspension* by communicating the opt out in writing to USADA within ten (10) days of the date of the notification letter described in section 13(b) of this Protocol. In the event of an upcoming competition USADA may shorten the time period within which an *Athlete* may elect to opt out of a *Provisional Suspension*. If the *Athlete*, *Athlete Support Person*, or other *Person* opt out of the imposition of the *Provisional Suspension*, the *Athlete*, *Athlete Support Person*, or other *Person* shall not receive any credit for time previously served during the *Provisional Suspension* but can later accept a *Voluntary Provisional Suspension* in accordance with the timelines set forth in the *Code*.

c. If USADA imposes a *Provisional Suspension* and the *Athlete*, *Athlete Support Person*, or other *Person* presents credible evidence that they intend to participate in a “*Protected Competition*”8 or other significant *Competition* within forty-five (45) days, the *Provisional Hearing* process shall be bypassed and the case shall proceed directly to an expedited hearing as provided for in section 16(b) of this Protocol.

d. Upon the imposition of or opting out of a *Provisional Suspension*, USADA shall give notice thereof as set forth in Articles 13.2.3, 14.1 and 14.2 of the *Code*.

e. If a *Provisional Suspension* is imposed based on an *A Sample Adverse Analytical Finding* and a subsequent *B Sample* analysis (if requested by the *Athlete* or USADA) does not confirm the *A Sample* analysis, then the *Athlete* shall not be subject to any further *Provisional Suspension* on account of a violation of Article 2.1.

15. **Charging and Case Closure Procedures**

   a. Before charging an *Athlete*, *Athlete Support Person*, or other *Person* with an anti-doping rule violation, USADA shall refer to ADAMS and contact *WADA* and other relevant *Anti-Doping Organizations* to determine whether any prior anti-doping rule violation exists.

   b. In the event that during *Results Management* USADA decides not to proceed upon any potential anti-doping rule violation or decides not to bring forward any *Adverse Analytical Finding* or *Atypical Finding* as an anti-doping rule violation, USADA shall so notify the *Athlete*, and as appropriate, the USOPC, NGB, IF, *WADA* and other sports organization, *Event organizer*

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8 The term “Protected Competition” shall have the meaning set forth in the USOPC’s Bylaws.
c. USADA shall notify the Athlete, Athlete Support Person, or other Person, WADA, and any sports organization(s) with a right to appeal pursuant to Article 13.2.3 of the Code in writing, whether USADA considers the matter closed or alternatively provide a charging letter alleging an anti-doping rule violation has occurred and that the matter will proceed pursuant to the adjudication process. The charging letter shall indicate what specific charges or alleged violations will be adjudicated and what sanction, consistent with Annex A, the IF rules, the USOPC NADP, or the USADA Protocol, USADA is seeking to have imposed and a copy of the USADA Protocol and the Procedures for the Arbitration of Olympic & Paralympic Sport Doping Disputes (the “Arbitration Procedures”) (attached as Annex C) or a web link to those documents.

Likewise, if an Athlete, Athlete Support Person, or other Person is suspected to have violated the prohibition against participation during Ineligibility pursuant to Code Article 10.14, or if USADA alleges that an Athlete’s competitive results obtained in violation of Code Article 5.6.1 should be Disqualified then USADA shall initiate the Results Management process through sending a letter requesting information or through sending a charging letter.

d. Within ten (10) days following the date of the charging letter, the Athlete, Athlete Support Person, or other Person must inform USADA in writing if he or she desires an arbitration hearing to contest the sanction or other relief sought by USADA. The Athlete, Athlete Support Person, or other Person shall be entitled to a five (5) day extension if requested within such ten (10) day period. If the sanction set forth in the charging letter is not contested in writing within such ten (10) or fifteen (15) day period, then the sanction or other relief shall be communicated by USADA to the Athlete, Athlete Support Person, or other Person, USOPC, NGB, IF, and WADA, Publicly Disclosed in accordance with section 18 of this Protocol, and thereafter imposed by the NGB or other appropriate sporting body.

e. Such sanction or other relief shall not be challenged, reopened or subject to appeal unless the Athlete, Athlete Support Person, or other Person can demonstrate by a preponderance of the evidence that he or she did not receive either actual or constructive notice of the opportunity to contest the sanction. A claim that notice was not received must be raised within twenty-one (21) days of USADA’s Public Disclosure of the sanction pursuant to section 18 of this Protocol and if no agreement is reached, shall be heard in accordance with the Arbitration Procedures in Annex C.

f. An Athlete, Athlete Support Person, or other Person may also elect to avoid the necessity for a hearing by accepting the sanction or other relief proposed by USADA. In all cases where
USADA has agreed with an Athlete, Athlete Support Person, or other Person to the imposition of a sanction or other relief without a hearing, USADA shall give notice to other Anti-Doping Organizations with a right to appeal under Article 13.2.3 of the Code.

g. If the sanction or other relief is contested by the Athlete, Athlete Support Person, or other Person, then a hearing shall be conducted pursuant to the procedures set forth below in section 16.

16. Hearing Tracks

The Results Management process is designed to balance the interest of clean Athletes in not competing against another Athlete or Athletes facing an unresolved doping charge with the opportunity for Athletes and other Persons who have been charged with an anti-doping rule violation to have a hearing prior to being declared Ineligible to participate in sport. Recognizing that athletic careers are short and the interest in the prompt resolution of anti-doping disputes is strong, the procedures in this Protocol are intended to facilitate the prompt and fair resolution of anti-doping matters.

Similarly, the interest of Athletes, other affected Persons and sports organizations in resolving pending anti-doping matters prior to a Protected Competition or significant Competition is frequently strong. Therefore, the Results Management process in this Protocol includes an Expedited Track providing for the prompt handling of these cases and provides that USADA may shorten any time period set forth in this Protocol and require that any hearing be conducted or the results of any hearing be publicly announced on or before a certain date or time where doing so is reasonably necessary to resolve an Athlete's or other Person's eligibility before a Protected Competition or other significant Competition.

a. Standard Results Management Track

Cases shall proceed along the Standard Results Management Track unless the Expedited Results Management Track described below applies. In the event the case is proceeding along the Standard Results Management Track and circumstances change such that an Athlete, Athlete Support Person, or other Person appears likely to participate in a Protected Competition or other significant Competition before the completion of the Results Management process, USADA may expedite the case for resolution before the competition in question. Upon a request by USADA to expedite the case shall be immediately conducted pursuant to the Expedited Results Management Track described below.

b. Expedited Results Management Track

When USADA receives a laboratory report of an Adverse Analytical Finding on an A Sample or USADA has evidence that an Athlete, Athlete Support Person, or other Person has committed an anti-doping rule violation and the Athlete, Athlete Support Person, or other Person is not
Provisionally Suspended and is likely to participate in a Protected Competition or other significant Competition (as determined by USADA) within forty-five (45) days, then USADA shall address the case through the following Results Management procedures if USADA determines that the case might not be concluded prior to the Protected or other significant Competition:

i. If applicable, the B Sample shall be analyzed by the laboratory at the earliest practicable time as scheduled by USADA.

ii. Regardless of the status of any B Sample analysis, an Athlete, Athlete Support Person, or other Person must decide whether to opt out of the Provisional Suspension (if allowed under section 14 of this Protocol) within three (3) business days of notice to the Athlete, Athlete Support Person, or other Person. If the Athlete, Athlete Support Person, or other Person opts out of the Provisional Suspension, the Athlete, Athlete Support Person, or other Person shall be deemed to have requested arbitration of their case and USADA shall notify the independent arbitral body in writing of the initiation of an expedited proceeding. If the Athlete, Athlete Support Person, or other Person does not opt out of the Provisional Suspension within three (3) business days of notice, the Athlete, Athlete Support Person, or other Person shall not be permitted to opt out of the Provisional Suspension within twenty-one (21) days of the Protected or significant Competition.

iii. The independent arbitral body shall immediately form an arbitration panel under the expedited procedures and in accordance with the Arbitration Procedures.

iv. The panel shall complete and close the hearing and issue its written award within the time period identified by USADA as necessary to provide for orderly participation in the Protected Competition or other significant Competition by the Athlete, Athlete Support Person, or other Person, if eligible, and/or by any other potentially affected Athletes, other Persons or team, or if no Competition is more imminent, within twenty-one (21) days of formation of the panel.

v. If an Athlete, Athlete Support Person, or other Person does not opt out the Provisional Suspension and/or upon agreement by USADA, nothing in this rule precludes a case from shifting from the Expedited Results Management Track to the appropriate stage of the Standard Results Management track at any time.

vi. USADA may shorten any time period set forth in this Protocol and require that any hearing be conducted or the results of any hearing be publicly announced on or before a certain date or time where doing so is reasonably necessary to resolve an Athlete's or other Person's eligibility before a Protected Competition or other
significant *Competition.* The shortened time periods shall continue to protect the right of the *Athlete, Athlete Support Person,* or other *Person* to a fair hearing where such a right exists under the Protocol.

17. **Hearings and Appeals**

The following procedures apply to all hearings under this Protocol:

a. Without exception, absent the express consent of the parties, all hearings will take place in the United States before the independent arbitral body using the Arbitration Procedures. For purposes of this section 17(a), the parties will be USADA and the *Athlete, Athlete Support Person,* or other *Person.* Parties may participate remotely. USADA shall also invite the applicable IF and WADA to participate either as a party or as an observer. If the parties agree or the *Athlete, Athlete Support Person,* or other *Person* requests and the arbitrator agrees, the hearing shall be open to the public subject to such limitations as may be imposed by the arbitrator. For their information only, notice of the hearing date shall also be sent to the USOPC, the USOPC *Athlete* Ombuds, the NGB, and WADA. If the *Athlete, Athlete Support Person,* or other *Person* requests, the USOPC *Athlete* Ombuds shall be invited as an observer.\(^9\)

b. Subject to the filing deadline for an appeal filed by WADA as provided in Article 13.2.3.5 of the *Code,* the final award by the arbitrator(s) may be appealed to the CAS within twenty-one (21) days of issuance of the final reasoned award or when an award on eligibility without reasons is deemed final as set forth below. If the arbitrators issue an award on eligibility without reasons, such award shall be deemed final for purposes of appeal to CAS on the earlier of (a) issuance of the final reasoned award by the arbitration panel, or (b) thirty (30) days from issuance of the award without reasons. The appeal procedure set forth in Article 13.2 of Annex A shall apply to all appeals, not just appeals by *International-Level Athletes,* *Athlete Support Personnel,* or other *Persons.* A CAS appeal shall be filed with the CAS Administrator, the CAS hearing will automatically take place in the United States (subject to CAS procedural rules) and CAS shall conduct a review of the matter on appeal which, among other things, shall include the power to increase, decrease or void the sanctions imposed by the previous arbitration panel regardless of which party initiated the appeal. The regular CAS Appeal Arbitration Procedures apply. The decision of CAS shall be final and binding on all parties and shall not be subject to further review or appeal subject to the right under

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\(^9\) To the extent there is a conflict between the provisions in the Protocol and Annex C as it relates to the arbitration process, Annex C controls.
Swiss law to challenge the decision before the Swiss Federal Tribunal.

c. All administrative costs of USADA relating to the Testing and management of Athletes’ Samples prior to a determination of Ineligibility will be borne by USADA. Administrative costs of the USADA adjudication process (arbitration filing fee, arbitration administrative costs, arbitrator fees and costs) will be borne by the USOPC, subject to the cost-shifting provision set forth in R-25c of the Arbitration Procedures.

d. CAS may impose an award of costs and fees on any party pursuant to its rules.

e. The results of all hearings, including written decisions, shall be communicated by USADA to the Athlete, Athlete Support Person, or other Person, the USOPC, NGB, IF and WADA. The NGB and/or USOPC shall impose any sanction resulting from the adjudication process. The NGB and/or the USOPC shall not impose any sanctions until after the Athlete, Athlete Support Person, or other Person has had the opportunity for a hearing or has waived it.

f. In lieu of the procedures set forth above, anti-doping rule violations asserted against International-Level Athletes, National-Level Athletes, Athlete Support Personnel, or other Persons may, with the consent of the Athlete, Athlete Support Person, or other Person, USADA (if USADA has Results Management responsibility), and WADA, be heard in a single final hearing before CAS conducted in the United States. USADA may participate in the CAS hearing as a party or an observer. The CAS decision shall be final and binding on all parties and shall not be subject to further review or appeal subject to the right under Swiss law to challenge the decision before the Swiss Federal Tribunal.

18. Confidentiality

Athletes, Athlete Support Personnel, and other Persons consent to USADA disclosing such information concerning the Athlete, Athlete Support Person, or other Person to sports organizations, other ADOs and other investigatory organizations as may be permitted by the Code, IF rules, the USOPC NADP, this Protocol, the ISTI, the ISRM, the International Standard for the Protection of Privacy and Personal Information (“ISPPPI”) or other law, rule or regulation, or which may be necessary for anti-doping purposes or to the U.S. Center for SafeSport for safe sport or joint investigative purposes including the whereabouts information described in Articles 5.5 and 14.5 of the Code. For any disclosure which USADA is entitled to make to the USOPC, USADA may, in addition, make such disclosure to the appropriate NGB or other appropriate USOPC member organization.

USADA shall maintain on its website a searchable database which includes the identity of all Athletes tested by USADA under its Olympic, Paralympic, Pan American, Parapan American and
Youth Olympic movements Testing program and the number of times each Athlete has been tested by USADA.

USADA shall not Publicly Disclose or publicly comment upon any Athlete’s Adverse Analytical Finding or Atypical Finding or upon any information related to any alleged doping rule violation (including violations not involving an Adverse Analytical Finding) unless reasonably necessary because the information is related to another case announcement or until after the Athlete, Athlete Support Person, or other Person (1) has been found to have committed an anti-doping rule violation in a hearing conducted under this Protocol, (2) has failed to request a hearing within the time set forth in section 15(d) of this Protocol, or (3) has agreed in writing to the sanction sought by USADA. However, USADA may provide notification to the USOPC, NGB, IF, WADA, an Event organizer or team selecting entity (or other sporting body ordering the test) as provided for in this Protocol. USADA does not control how information provided by USADA to the USOPC, NGBs, IFs, WADA and other sports organizations is disseminated but will include statements to each organization requesting that any organization receiving such information keep it confidential until disclosed by USADA. USADA may comment publicly at any time on any aspect of the Results Management/adjudication process or the applicable rules without making specific reference to any Athlete, Athlete Support Person, or other Person alleged to have committed an anti-doping rule violation. USADA may also release aggregate statistics of Testing and adjudication results. In the event an Athlete, Athlete Support Person, or other Person or the Athlete’s, Athlete Support Person’s, or other Person’s representative(s) or others associated with the Athlete, Athlete Support Person, or other Person make(s) public comments about their case or the process involving the Athlete, Athlete Support Person, or other Person then USADA may respond publicly to such comments in whatever manner and to whatever extent USADA deems appropriate.

Unless USADA, in its sole discretion, determines that non-disclosure or delayed disclosure is permitted under the Code and does not undercut the deterrent effect of a public announcement or is offset by benefits to an investigation or other anti-doping purpose, USADA shall Publicly Disclose the disposition of anti-doping matters and should do so no later than five (5) business days after: (1) it has been determined in a hearing in accordance with the Protocol that an anti-doping rule violation has occurred, (2) such hearing has been waived, (3) the assertion of an anti-doping rule violation has not been timely challenged, (4) the Athlete, Athlete Support Person, or other Person has agreed in writing to the sanction sought by USADA, or (5) the date of the arbitrator’s decision in a TUE appeal. After an anti-doping rule violation has been established, USADA may comment upon or disclose any aspect of the case. In all cases, the disposition shall be reported to the USOPC, NGB, IF, WADA and, if applicable, the other sporting body referring the matter to USADA.
USADA will also Publicly Disclose the resolution of any violation of the prohibition against participation during Ineligibility that results in a longer period of ineligibility or the Disqualification of an Athlete's competitive results obtained in violation of Code Article 5.6.1.

19. **Ineligibility**

Any Athlete sanctioned by USADA, an NGB, an IF, another Signatory to the Code or by another body whose rules are consistent with the Code for the violation of any anti-doping rule, who receives a period of Ineligibility of less than a lifetime period of Ineligibility, shall be required to make themselves available for Out-of-Competition Testing, complete anti-doping Education provided by USADA, and, in the discretion of USADA, may be enrolled in and required to comply with all requirements of the RTP or the CAP at any time during the period of the Athlete's Ineligibility. The failure by an Athlete who has been enrolled in the RTP or the CAP to fully comply with USADA's whereabouts requirements, if requested, or otherwise be available for Testing may result in the extension of the Athlete's Ineligibility or subject the Athlete to a further anti-doping rule violation and additional sanctions.

Any Athlete who retires during a period of Ineligibility while enrolled in the RTP or the CAP and later desires to seek reinstatement or return to active participation in sport must give USADA notice of his or her intent to return from retirement and must comply with all USADA whereabouts requirements for members of the RTP or the CAP. Once the Athlete has provided all the whereabouts information required by USADA, USADA shall notify the Athlete of the date of the Athlete's re-inclusion in the RTP or the CAP. The Athlete shall not be eligible to recover eligibility until the Athlete has been in the RTP or the CAP and fully complied with all requirements for participation in the RTP or CAP, including the duty to provide whereabouts information, for a period of time equal to the period of Ineligibility remaining as of the date the Athlete retired or for six months, whichever is longer. The Athlete must also comply with all applicable reinstatement requirements of the Athlete's NGB(s) and IF(s).

20. **Retirement**

Any Athlete enrolled in the RTP or the CAP who wishes to be removed from the RTP or the CAP on account of retirement must promptly notify USADA and his or her NGB in writing in order for retirement from the RTP or CAP to be effective. In addition, Athletes are responsible to comply with the individual retirement policies for the IF in each sport in which he or she competes. The information in this section shall be summarized on USADA's website.

a. In accordance with Article 5.6 of the Code, any Athlete who retires from sport while included in the RTP must make himself or herself available for Testing by giving six months prior
written notice to USADA, the relevant IF and the Athlete’s NGB(s) prior to returning to active participation in sport at the International or National level and must comply with all USADA whereabouts requirements for members of the RTP.

b. Any Athlete who retires from sport while included in the CAP must make himself or herself available for Testing by giving six months prior written notice to USADA, the relevant IF and the Athlete’s NGB(s) prior to returning to active participation in sport at the International or National level and must comply with all USADA whereabouts requirements for members of the CAP.

WADA, in consultation with the relevant IF and USADA, may grant an exemption to the six-month rule where the strict application of the rule would be unfair to an Athlete.

The decision as to whether an exemption should be granted may be appealed under Article 13 of the Code to CAS. In addition, competitive results obtained in violation of Article 5.6.1 of the Code shall be Disqualified.

If an Athlete retires from sport while subject to a period of Ineligibility and then wishes to return to active Competition in sport, the Athlete shall not compete in International Events or National Events until the Athlete has made himself or herself available for Testing and satisfied the notice requirements indicated in Article 5.6.2 of the Code.

21. Ownership and Use of Samples

All Samples collected by USADA shall be the property of USADA, unless otherwise agreed to by USADA, but shall only be used for anti-doping purposes and/or as outlined in this Protocol.

22. Effective Date

The revisions to this Protocol incorporated herein shall go into effect on January 1, 2021 and procedural rules in this Protocol shall apply in all pending matters as of that date. Revisions to substantive provisions of the Protocol as previously published shall not apply retrospectively to matters pending before January 1, 2021 except as provided in Article 27 of the Code.
ANNEX A

World Anti-Doping Code Articles

Articles for the World Anti-Doping Code that are referenced in the USOPC National Anti-Doping Policy and incorporated verbatim into the USADA Protocol for Olympic and Paralympic Movement Testing:¹

ARTICLE 1 DEFINITION OF DOPING

Doping is defined as the occurrence of one or more of the anti-doping rule violations set forth in Article 2.1 through Article 2.11 of the Code.

ARTICLE 2 ANTI-DOPING RULE VIOLATIONS

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

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

The following constitute anti-doping rule violations:

2.1 Presence of a Prohibited Substance or its Metabolites or Markers in an Athlete’s Sample

2.1.1 It is the Athletes’ personal duty to ensure that no Prohibited Substance enters their bodies. Athletes are responsible for any Prohibited Substance or its Metabolites or Markers found to be present in their Samples. Accordingly, it is not necessary that intent, Fault, Negligence or knowing Use on the Athlete’s part be demonstrated in order to establish an anti-doping rule violation under Article 2.1.

[Comment to Article 2.1.1: An anti-doping rule violation is committed under this Article without regard to an Athlete’s Fault. This rule has been referred to in various CAS decisions as “Strict Liability”. An Athlete’s Fault is taken into consideration in determining the Consequences of this anti-doping rule violation under Article 10. This principle has consistently been upheld by CAS.]

2.1.2 Sufficient proof of an anti-doping rule violation under Article 2.1 is established by any of the following: presence of a Prohibited Substance or its Metabolites or Markers in the Athlete’s A Sample where the Athlete waives analysis of the B Sample and the B Sample is not analyzed; or, where the Athlete’s B Sample is analyzed and the analysis of the Athlete’s

¹ USADA incorporates by reference the remaining Code provisions in substance and as applicable.
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 A or B Sample is split into two parts and the analysis of the confirmation part of the split sample confirms the presence of the Prohibited Substance or its Metabolites or Markers found in the first part of the split sample or the Athlete waives analysis of the confirmation part of the split sample.

[Comment to Article 2.1.2: The Anti-Doping Organization with Results Management responsibility may, at its discretion, choose to have the B Sample analyzed even if the Athlete does not request the analysis of the B Sample.]

2.1.3 Excepting those substances for which a Decision Limit is specifically identified in the Prohibited List or a Technical Document, the presence of any reported quantity of a Prohibited Substance or its Metabolites or Markers in an Athlete's Sample shall constitute an anti-doping rule violation.

2.1.4 As an exception to the general rule of Article 2.1, the Prohibited List, International Standards, or Technical Documents may establish special criteria for reporting or the evaluation of certain Prohibited Substances.

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

[Comment to Article 2.2: It has always been the case that Use or Attempted Use of a Prohibited Substance or Prohibited Method may be established by any reliable means. As noted in the Comment to Article 3.2, unlike the proof required to establish an anti-doping rule violation under Article 2.1, Use or Attempted Use may also be established by other reliable means such as admissions by the Athlete, witness statements, documentary evidence, conclusions drawn from longitudinal profiling, including data collected as part of the Athlete Biological Passport, or other analytical information which does not otherwise satisfy all the requirements to establish “Presence” of a Prohibited Substance under Article 2.1.

For example, Use may be established based upon reliable analytical data from the analysis of an A Sample (without confirmation from an analysis of a B Sample) or from the analysis of a B Sample alone where the Anti-Doping Organization provides a satisfactory explanation for the lack of confirmation in the other Sample.]

2.2.1 It is the Athletes’ personal duty to ensure that no Prohibited Substance enters their bodies 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.

[Comment to Article 2.2.2: Demonstrating the “Attempted Use” of a Prohibited Substance or a Prohibited Method requires proof of intent on the Athlete’s part. The fact that intent may be required to prove this particular anti-doping rule violation does not undermine the Strict Liability principle established for violations of Article 2.1 and violations of Article 2.2 in respect of Use of a Prohibited Substance or Prohibited Method.

An Athlete’s Use of a Prohibited Substance constitutes an anti-doping rule violation unless such substance is not prohibited Out-of-Competition and the Athlete’s Use takes place Out-of-Competition. (However, the presence of a Prohibited Substance or its Metabolites or Markers in a Sample collected In-Competition is a violation of Article 2.1 regardless of when that substance might have been administered.)]

2.3 Evading, Refusing or Failing to Submit to Sample Collection by an Athlete

Evading Sample collection; or refusing or failing to submit to Sample collection without compelling justification after notification by a duly authorized Person.

[Comment to Article 2.3: For example, it would be an anti-doping rule violation of “evading Sample collection” if it were established that an Athlete was deliberately avoiding a Doping Control official to evade notification or Testing. A violation of “failing to submit to Sample collection” may be based on either intentional or negligent conduct of the Athlete, while “evading” or “refusing” Sample collection contemplates intentional conduct by the Athlete.]

2.4 Whereabouts Failures by an Athlete

Any combination of three missed tests and/or filing failures, as defined in the International Standard for Results Management, 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 by an Athlete or Other Person

2.6 Possession of a Prohibited Substance or a Prohibited Method by an Athlete or Athlete Support Person

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

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

[Comment to Articles 2.6.1 and 2.6.2: Acceptable justification would not include, for example, buying or Possessing a Prohibited Substance for purposes of giving it to a friend or relative, except under justifiable medical circumstances where that Person had a physician’s prescription, e.g., buying Insulin for a diabetic child.]

[Comment to Articles 2.6.1 and 2.6.2: Acceptable justification may include, for example, (a) an Athlete or a team doctor carrying Prohibited Substances or Prohibited Methods for dealing with acute and emergency situations (e.g., an epinephrine auto-injector), or (b) an Athlete Possessing a Prohibited Substance or Prohibited Method for therapeutic reasons shortly prior to applying for and receiving a determination on a TUE.]

2.7 Trafficking or Attempted Trafficking in any Prohibited Substance or Prohibited Method by an Athlete or Other Person

2.8 Administration or Attempted Administration by an Athlete or Other Person 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 or Attempted Complicity by an Athlete or Other Person

Assisting, encouraging, aiding, abetting, conspiring, covering up or any other type of intentional complicity or Attempted complicity involving an anti-doping rule violation, Attempted anti-doping rule violation or violation of Article 10.14.1 by another Person.

[Comment to Article 2.9: Complicity or Attempted Complicity may include either physical or psychological assistance.]

2.10 Prohibited Association by an Athlete or Other Person

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

2.10.2 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

2.10.3 Is serving as a front or intermediary for an individual described in Article 2.10.1 or 2.10.2.

2.10.2 To establish a violation of Article 2.10, an Anti-Doping Organization must establish that the Athlete or other Person knew of the Athlete Support Person’s disqualifying status.

The burden shall be on the Athlete or other Person to establish that any association with an Athlete Support Person described in Article 2.10.1 or 2.10.2 is not in a professional or sport-related capacity and/or that such association could not have been reasonably avoided.

Anti-Doping Organizations that are aware of Athlete Support Personnel who meet the criteria described in Article 2.10.1, 2.10.2, or 2.10.3 shall submit that information to WADA

[Comment to Article 2.10: Athletes and other Persons must not work with coaches, trainers, physicians or other Athlete Support Personnel who are Ineligible on account of an anti-doping rule violation or who have been criminally convicted or professionally disciplined in relation to doping. This also prohibits association with any other Athlete who is acting as a coach or Athlete Support Person while serving a period of Ineligibility. Some examples of the types of association which are prohibited include: obtaining training, strategy, technique, nutrition or medical advice; obtaining therapy, treatment or prescriptions; providing any bodily products for analysis; or allowing the Athlete Support Person to serve as an agent or representative. Prohibited association need not involve any form of compensation.

While Article 2.10 does not require the Anti-Doping Organization to notify the Athlete or other Person about the Athlete Support Person’s disqualifying status, such notice, if provided, would be important evidence to establish that the Athlete or other Person knew about the disqualifying status of the Athlete Support Person.]
2.11 Acts by an Athlete or Other Person to Discourage or Retaliate Against Reporting to Authorities

Where such conduct does not otherwise constitute a violation of Article 2.5:

2.11.1 Any act which threatens or seeks to intimidate another Person with the intent of discouraging the Person from the good-faith reporting of information that relates to an alleged anti-doping rule violation or alleged non-compliance with the Code to WADA, an Anti-Doping Organization, law enforcement, regulatory or professional disciplinary body, hearing body or Person conducting an investigation for WADA or an Anti-Doping Organization.

2.11.2 Retaliation against a Person who, in good faith, has provided evidence or information that relates to an alleged anti-doping rule violation or alleged non-compliance with the Code to WADA, an Anti-Doping Organization, law enforcement, regulatory or professional disciplinary body, hearing body or Person conducting an investigation for WADA or an Anti-Doping Organization.

For purposes of Article 2.11, retaliation, threatening and intimidation include an act taken against such Person either because the act lacks a good faith basis or is a disproportionate response.

[Comment to Article 2.11.2: This article is intended to protect Persons who make good faith reports, and does not protect Persons who knowingly make false reports.]

[Comment to Article 2.11.2: Retaliation would include, for example, actions that threaten the physical or mental well-being or economic interests of the reporting Persons, their families or associates. Retaliation would not include an Anti-Doping Organization asserting in good faith an anti-doping rule violation against the reporting Person. For purposes of Article 2.11, a report is not made in good faith where the Person making the report knows the report to be false.]

ARTICLE 3 PROOF OF DOPING

3.1 Burdens and Standards of Proof

The Anti-Doping Organization shall have the burden of establishing that an anti-doping rule violation has occurred. The standard of proof shall be whether the Anti-Doping Organization has established an anti-doping rule violation to the comfortable satisfaction of the hearing panel, bearing in mind the seriousness of the allegation which is made. This standard of proof in all cases is greater than a mere balance of probability but less than proof beyond a reasonable doubt. Where the Code places 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, except as provided in Articles 3.2.2 and 3.2.3, the standard of proof shall be by a balance of probability.

[Comment to Article 3.1: This standard of proof required to be met by the Anti-Doping Organization is comparable to the standard which is applied in most countries to cases involving professional misconduct.]

3.2 Methods of Establishing Facts and Presumptions

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

[Comment to Article 3.2: For example, an Anti-Doping Organization may establish an anti-doping rule violation under Article 2.2 based on the Athlete's admissions, the credible testimony of third Persons, reliable documentary evidence, reliable analytical data from either an A or B Sample as provided in the Comments to Article 2.2, or conclusions drawn from the profile of a series of the Athlete's blood or urine Samples, such as data from the Athlete Biological Passport.]

3.2.1 Analytical methods or Decision Limits approved by WADA after consultation within the relevant scientific community or which have been the subject of peer review are presumed to be scientifically valid. Any Athlete or other Person seeking to challenge whether the conditions for such presumption have been met or 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. The initial hearing body, appellate body or CAS, on its own initiative, may also inform WADA of any such challenge. Within 10 days of WADA’s receipt of such notice and the case file related to such challenge, WADA shall also have the right to intervene as a party, appear as amicus curiae or otherwise provide evidence in such proceeding. In cases before CAS, at WADA’s request, the CAS panel shall appoint an appropriate scientific expert to assist the panel in its evaluation of the challenge.

[Comment to Article 3.2.1: For certain Prohibited Substances, WADA may instruct WADA-accredited laboratories not to report Samples as an Adverse Analytical Finding if the estimated concentration of the Prohibited Substance or its Metabolites or Markers is below a Minimum Reporting Level. WADA’s decision in determining that Minimum Reporting Level or in determining which Prohibited Substances should be subject to Minimum Reporting Levels shall not be subject to challenge. Further, the laboratory’s estimated concentration of such Prohibited Substance in a Sample may only be an estimate. In no event shall the possibility that the exact concentration of the Prohibited Substance in the Sample may be below the Minimum Reporting Level constitute a defense to an anti-doping rule violation based on the presence of that Prohibited Substance in the Sample.]
3.2.2  *WADA*-accredited laboratories, and other laboratories approved by *WADA*, are presumed to have conducted *Sample* analysis and custodial procedures in accordance with the *International Standard* for Laboratories. The *Athlete* or other *Person* may rebut this presumption by establishing that a departure from the *International Standard* for Laboratories occurred which could reasonably have caused the *Adverse Analytical Finding*.

If the *Athlete* or other *Person* rebuts the preceding presumption by showing that a departure from the *International Standard* for Laboratories occurred which could reasonably have caused the *Adverse Analytical Finding*, then the *Anti-Doping Organization* shall have the burden to establish that such departure did not cause the *Adverse Analytical Finding*.

*[Comment to Article 3.2.2: The burden is on the *Athlete* or other *Person* to establish, by a balance of probability, a departure from the *International Standard* for Laboratories that could reasonably have caused the *Adverse Analytical Finding*. Thus, once the *Athlete* or other *Person* establishes the departure by a balance of probability, the *Athlete* or other *Person*’s burden on causation is the somewhat lower standard of proof – “could reasonably have caused.” If the *Athlete* or other *Person* satisfies these standards, the burden shifts to the *Anti-Doping Organization* to prove to the comfortable satisfaction of the hearing panel that the departure did not cause the *Adverse Analytical Finding*.]*

3.2.3  Departures from any other *International Standard* or other anti-doping rule or policy set forth in the *Code* or in an *Anti-Doping Organization’s* rules shall not invalidate analytical results or other evidence of an anti-doping rule violation, and shall not constitute a defense to an anti-doping rule violation; provided, however, if the *Athlete* or other *Person* establishes that a departure from one of the specific *International Standard* provisions listed below could reasonably have caused an anti-doping rule violation based on an *Adverse Analytical Finding* or whereabouts failure, then the *Anti-Doping Organization* shall have the burden to establish that such departure did not cause the *Adverse Analytical Finding* or whereabouts failure:

*[Comment to Article 3.2.3: Departures from an *International Standard* or other rule unrelated to *Sample* collection or handling, *Adverse Passport Finding*, or *Athlete* notification relating to whereabouts failure or B *Sample* opening – e.g., the *International Standards* for Education, Data Privacy or TUEs – may result in compliance proceedings by *WADA* but are not a defense in an anti-doping rule violation proceeding and are not relevant on the issue of whether the *Athlete* committed an anti-doping rule violation. Similarly, an *Anti-Doping Organization*’s violation of the document referenced in Article 20.7.7 shall not constitute a defense to an anti-doping rule violation.]*
(i) a departure from the *International Standard for Testing and Investigations* related to Sample collection or Sample handling which could reasonably have caused an anti-doping rule violation based on an *Adverse Analytical Finding*, in which case the *Anti-Doping Organization* shall have the burden to establish that such departure did not cause the *Adverse Analytical Finding*;

(ii) a departure from the *International Standard for Results Management* or *International Standard for Testing and Investigations* related to Adverse Passport Finding which could reasonably have caused an anti-doping rule violation, in which case the *Anti-Doping Organization* shall have the burden to establish that such departure did not cause the anti-doping rule violation;

(iii) a departure from the *International Standard for Results Management* related to the requirement to provide notice to the Athlete of the B Sample opening which could reasonably have caused an anti-doping rule violation based on an *Adverse Analytical Finding*, in which case the *Anti-Doping Organization* shall have the burden to establish that such departure did not cause the *Adverse Analytical Finding*;

[Comment to Article 3.2.3 (iii): An *Anti-Doping Organization* would meet its burden to establish that such departure did not cause the Adverse Analytical Finding by showing that, for example, the B Sample opening and analysis were observed by an independent witness and no irregularities were observed.]

(iv) a departure from the *International Standard for Results Management* related to Athlete notification which could reasonably have caused an anti-doping rule violation based on a whereabouts failure, in which case the *Anti-Doping Organization* shall have the burden to establish that such departure did not cause the whereabouts failure.

3.2.4 The facts established by a decision of a court or professional disciplinary tribunal of competent jurisdiction which is not the subject of a pending appeal shall be irrebuttable evidence against the Athlete or other Person to whom the decision pertained of those facts unless the Athlete or other Person establishes that the decision violated principles of natural justice.

3.2.5 The hearing panel in a hearing on an anti-doping rule violation may draw an inference adverse to the Athlete or other Person who is asserted to have committed an anti-doping rule violation based on the Athlete’s or other Person’s refusal, after a request made in a reasonable time in advance of the hearing, to appear at the hearing (either in person or telephonically as directed by the hearing panel) and to answer questions from the hearing panel or the *Anti-Doping Organization* asserting the anti-doping rule violation.
ARTICLE 4 THE PROHIBITED LIST

4.2.2 Specified Substances or Specified Methods

For purposes of the application of Article 10, all Prohibited Substances shall be Specified Substances except as identified on the Prohibited List. No Prohibited Method shall be a Specified Method unless it is specifically identified as a Specified Method on the Prohibited List.

[Comment to Article 4.2.2: The Specified Substances and Methods identified in Article 4.2.2 should not in any way be considered less important or less dangerous than other doping substances or methods. Rather, they are simply substances and methods which are more likely to have been consumed or used by an Athlete for a purpose other than the enhancement of sport performance.]

4.2.3 Substances of Abuse

For purposes of applying Article 10, Substances of Abuse shall include those Prohibited Substances which are specifically identified as Substances of Abuse on the Prohibited List because they are frequently abused in society outside of the context of sport.

4.3.3 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, the classification of substances into categories on the Prohibited List, the classification of a substance as prohibited at all times or In-Competition only, the classification of a substance or method as a Specified Substance, Specified Method or Substance of Abuse is final and shall not be subject to any challenge by an Athlete or other Person including, but not limited to, any challenge 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 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 Athletes who are not International-Level Athletes shall apply to their National Anti-Doping Organization for a TUE. If the National Anti-Doping Organization denies the application, the Athlete may appeal exclusively to the national-level appeal body described in Article 13.2.2.
4.4.3 **Athletes** who are *International-Level Athletes* shall apply to their International Federation.

[Comment to Article 4.4.3: If the International Federation refuses to recognize a *TUE* granted by a *National Anti-Doping Organization* only because medical records or other information are missing that are needed to demonstrate satisfaction with the criteria in the *International Standard for Therapeutic Use Exemptions*, the matter should not be referred to *WADA*. Instead, the file should be completed and re-submitted to the International Federation.

If an International Federation chooses to test an *Athlete* who is not an *International-Level Athlete*, it must recognize a *TUE* granted by that *Athlete's National Anti-Doping Organization.*]

4.4.3.1 Where the *Athlete* already has a *TUE* granted by their *National Anti-Doping Organization* for the substance or method in question, if that *TUE* meets the criteria set out in the *International Standard for Therapeutic Use Exemptions*, then the International Federation must recognize it. If the International Federation considers that the *TUE* does not meet those criteria and so refuses to recognize it, it must notify the *Athlete* and the *Athlete's National Anti-Doping Organization* promptly, with reasons. The *Athlete* or the *National Anti-Doping Organization* shall have 21 days from such notification to refer the matter to *WADA* for review.

If the matter is referred to *WADA* for review, the *TUE* granted by the *National Anti-Doping Organization* 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 within the 21-day deadline, the *Athlete's National Anti-Doping Organization* must determine whether the original *TUE* granted by that *National Anti-Doping Organization* should nevertheless remain valid for national-level *Competition* and *Out-of-Competition Testing* (provided that the *Athlete* ceases to be an *International-Level Athlete* and does not participate in international-level *Competition*). Pending the *National Anti-Doping Organization*'s decision, the *TUE* remains valid for national-level *Competition* and *Out-of-Competition Testing* (but is not valid for international-level *Competition*).

4.4.3.2 If the *Athlete* does not already have a *TUE* granted by their *National Anti-Doping Organization* for the substance or method in question, the *Athlete* must apply directly to the *Athlete's International Federation* for a *TUE* as soon as the need arises. If the International Federation (or the *National Anti-Doping Organization*, where it has agreed to consider the application on behalf of the International Federation) denies the *Athlete's application*, it must notify the *Athlete* promptly, with reasons. If the International Federation grants the *Athlete's application*,...
it must notify not only the *Athlete* but also the *Athlete’s National Anti-Doping Organization*, and if the *National Anti-Doping Organization* considers that the *TUE* 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. If the *National Anti-Doping Organization* refers the matter to *WADA* for review, the *TUE* granted by the International Federation 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 Organization* does not refer the matter to *WADA* for review, the *TUE* granted by the International Federation becomes valid for national-level *Competition* as well when the 21-day review deadline expires.

4.4.4 A *Major Event Organization* may require *Athletes* to apply to it for a *TUE* if they wish to *Use* a *Prohibited Substance* or a *Prohibited Method* in connection with the *Event*. In that case:

4.4.4.1 The *Major Event Organization* must ensure a process is available for an *Athlete* to apply for a *TUE* if he or she does not already have one. If the *TUE* is granted, it is effective for its *Event* only.

4.4.4.2 Where the *Athlete* already has a *TUE* granted by the *Athlete’s National Anti-Doping Organization* or International Federation, if that *TUE* meets the criteria set out in the *International Standard for Therapeutic Use Exemptions*, the *Major Event Organization* must recognize it. If the *Major Event Organization* decides the *TUE* does not meet those criteria and so refuses to recognize it, it must notify the *Athlete* promptly, explaining its reasons.

4.4.4.3 A decision by a *Major Event Organization* not to recognize or not to grant a *TUE* may be appealed by the *Athlete* exclusively to an independent body established or appointed by the *Major Event Organization* for that purpose. If the *Athlete* does not appeal (or the appeal is unsuccessful), the *Athlete* may not *Use* the substance or method in question in connection with the *Event*, but any *TUE* granted by the *Athlete’s National Anti-Doping Organization* or International Federation for that substance or method remains valid outside of that *Event*.

[Comment to Article 4.4.4.3: For example, the *CAS Ad Hoc Division* or a similar body may act as the independent appeal body for particular *Events*, or *WADA* may agree to perform that function. If neither *CAS* nor *WADA* are performing that function, *WADA* retains the right (but not the obligation) to review the *TUE* decisions made in connection with the *Event* at any time, in accordance with Article 4.4.6.]
4.4.5 If an Anti-Doping Organization chooses to collect a Sample from an Athlete who is not an International-Level Athlete or National-Level Athlete, and that Athlete is Using a Prohibited Substance or Prohibited Method for therapeutic reasons, the Anti-Doping Organization must permit the Athlete to apply for a retroactive TUE.

4.4.6 WADA must review an International Federation’s decision not to recognize a TUE granted by the National Anti-Doping Organization that is referred to it by the Athlete or the Athlete’s National Anti-Doping Organization. In addition, WADA must review an International Federation’s decision to grant a TUE that is referred to it by the Athlete’s National Anti-Doping Organization. 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.

[Comment to Article 4.4.6: WADA shall be entitled to charge a fee to cover the costs of: (a) any review it is required to conduct in accordance with Article 4.4.6; and (b) any review it chooses to conduct, where the decision being reviewed is reversed.]

4.4.7 Any TUE decision by an International Federation (or by a National Anti-Doping Organization where it has agreed to consider the application on behalf of an International Federation) 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.

[Comment to Article 4.4.7: In such cases, the decision being appealed is the International Federation’s TUE decision, not WADA’s decision not to review the TUE decision or (having reviewed it) not to reverse the TUE decision. However, the time to appeal the TUE decision does not begin to run until the date that WADA communicates its decision. In any event, whether the decision has been reviewed by WADA or not, WADA shall be given notice of the appeal so that it may participate if it sees fit.]

4.4.8 A decision by WADA to reverse a TUE decision may be appealed by the Athlete, the National Anti-Doping Organization and/or the International Federation affected, exclusively to CAS.

4.4.9 A failure to render a decision within a reasonable time on a properly submitted application for grant/recognition of a TUE or for review of a TUE decision shall be considered a denial of the application thus triggering the applicable rights of review/appeal.
ARTICLE 5 TESTING AND INVESTIGATIONS

5.1 Purpose of Testing and Investigations

Testing and investigations may be undertaken for any anti-doping purpose.

[Comment to Article 5.1: Where Testing is conducted for anti-doping purposes, the analytical results and data may be used for other legitimate purposes under the Anti-Doping Organization’s rules. See, e.g., Comment to Article 23.2.2.]

5.2 Authority to Test

Any Athlete may be required to provide a Sample at any time and at any place by any Anti-Doping Organization with Testing authority over him or her. Subject to the limitations for Event Testing set out in Article 5.3:

[Comment to Article 5.2: Additional authority to conduct Testing may be conferred by means of bilateral or multilateral agreements among Signatories. Unless the Athlete has identified a 60-minute Testing window during the following-described time period, or otherwise consented to Testing during that period, before Testing an Athlete between the hours of 11:00 p.m. and 6:00 a.m., an Anti-Doping Organization should have serious and specific suspicion that the Athlete may be engaged in doping. A challenge to whether an Anti-Doping Organization had sufficient suspicion for Testing during this time period shall not be a defense to an anti-doping rule violation based on such test or attempted test.]

5.6 Retired Athletes Returning to Competition

5.6.1 If an International- or National-Level Athlete in a Registered Testing Pool retires and then wishes to return to active participation in sport, the Athlete shall not compete in International Events or National Events until the Athlete has made himself or herself available for Testing, by giving six months prior written notice to their International Federation and National Anti-Doping Organization. WADA, in consultation with the relevant International Federation and National Anti-Doping Organization, may grant an exemption to the six-month written notice rule where the strict application of that rule would be unfair to an Athlete. This decision may be appealed under Article 13.

[Comment to Article 5.6.1: Guidance for determining whether an exemption is warranted will be provided by WADA.]

5.6.11 Any competitive results obtained in violation of Article 5.6.1 shall be Disqualified unless the Athlete can establish that he or she could not have reasonably known that this was an International Event or a National Event.

5.6.2 If an Athlete retires from sport while subject to a period of Ineligibility, the Athlete must
notify the Anti-Doping Organization that imposed the period of Ineligibility in writing of such retirement. If the Athlete then wishes to return to active competition in sport, the Athlete shall not compete in International Events or National Events until the Athlete has made himself or herself available for Testing by giving six-month 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 (6) months) to the Athlete’s International Federation and National Anti-Doping Organization.

ARTICLE 6 ANALYSIS OF SAMPLES

Samples shall be analyzed in accordance with the following principles:

6.1 Use of Accredited, Approved Laboratories and Other Laboratories

For purposes of directly establishing an Adverse Analytical Finding under Article 2.1, Samples shall be analyzed only in WADA-accredited laboratories or laboratories otherwise approved by WADA. The choice of the WADA-accredited or WADA-approved laboratory used for the Sample analysis shall be determined exclusively by the Anti-Doping Organization responsible for Results Management.

[Comment to Article 6.1: For cost and geographic access reasons, WADA may approve laboratories which are not WADA-accredited to perform particular analyses, for example, analysis of blood which should be delivered from the collection site to the laboratory within a set deadline. Before approving any such laboratory, WADA will ensure it meets the high analytical and custodial standards required by WADA. Violations of Article 2.1 may be established only by Sample analysis performed by a WADA-accredited laboratory or another laboratory approved by WADA. Violations of other Articles may be established using analytical results from other laboratories so long as the results are reliable.]

6.1.1 As provided in Article 3.2, facts related to anti-doping rule violations may be established by any reliable means. This would include, for example, reliable laboratory or other forensic testing conducted outside of WADA-accredited or approved laboratories.

6.2 Purpose of Analysis of Samples and Data

Samples and related analytical data or Doping Control information shall be analyzed to detect Prohibited Substances and Prohibited Methods identified on the Prohibited List and other substances as may be directed by WADA pursuant to Article 4.5, or to assist an Anti-Doping Organization in profiling relevant parameters in an Athlete’s urine, blood or other matrix, including for DNA or genomic profiling, or for any other legitimate anti-doping purpose.
6.3 Research on Samples and Data

Samples, related analytical data and Doping Control information may be used for anti-doping research purposes, although no Sample may be used for research without the Athlete's written consent. Samples and related analytical data or Doping Control information used for research purposes shall first be processed in such a manner as to prevent Samples and related analytical data or Doping Control information being traced back to a particular Athlete. Any research involving Samples and related analytical data or Doping Control information shall adhere to the principles set out in Article 19.

[Comment to Article 6.3: As is the case in most medical or scientific contexts, use of Samples and related information for quality assurance, quality improvement, method improvement and development or to establish reference populations is not considered research. Samples and related information used for such permitted non-research purposes must also first be processed in such a manner as to prevent them from being traced back to the particular Athlete, having due regard to the principles set out in Article 19, as well as the requirements of the International Standard for Laboratories and International Standard for the Protection of Privacy and Personal Information.]

ARTICLE 7 RESULTS MANAGEMENT: RESPONSIBILITY, INITIAL REVIEW, NOTICE AND PROVISIONAL SUSPENSIONS

[Comment to Article 7: Various Signatories have created their own approaches to Results Management. While the various approaches have not been entirely uniform, many have proven to be fair and effective systems for Results Management. The Code does not supplant each of the Signatories’ Results Management systems. This Article and the International Standard for Results Management do, however, specify basic principles in order to ensure the fundamental fairness of the Results Management process which must be observed by each Signatory. The specific anti-doping rules of each Signatory shall be consistent with these basic principles. Not all anti-doping proceedings which have been initiated by an Anti-Doping Organization need to go to a hearing. There may be cases where the Athlete or other Person agrees to the sanction which is either mandated by the Code or which the Anti-Doping Organization considers appropriate where flexibility in sanctioning is permitted. In all cases, a sanction imposed on the basis of such an agreement will be reported to parties with a right to appeal under Article 13.2.3 as provided in Article 14 and published as provided in Article 14.3.]
7.7 Retirement from Sport

If an Athlete or other Person retires while a Results Management process is underway, the Anti-Doping Organization conducting the Results Management process retains authority to complete its Results Management process. If an Athlete or other Person retires before any Results Management process has begun, the Anti-Doping Organization which would have had Results Management authority over the Athlete or other Person at the time the Athlete or other Person committed an anti-doping rule violation, has authority to conduct Results Management.

[Comment to Article 7.7: Conduct by an Athlete or other Person before the Athlete or other Person was subject to the authority of any Anti-Doping Organization would not constitute an anti-doping rule violation but could be a legitimate basis for denying the Athlete or other Person membership in a sports organization.]

ARTICLE 9  AUTOMATIC DISQUALIFICATION OF INDIVIDUAL RESULTS

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

[Comment to Article 9: For Team Sports, any awards received by individual players will be Disqualified. However, Disqualification of the team will be as provided in Article 11. In sports which are not Team Sports but where awards are given to teams, Disqualification or other disciplinary action against the team when one or more team members have committed an anti-doping rule violation shall be as provided in the applicable rules of the International Federation.]

ARTICLE 10  SANCTIONS ON INDIVIDUALS

[Comment to Article 10: Harmonization of sanctions has been one of the most discussed and debated areas of anti-doping. Harmonization means that the same rules and criteria are applied to assess the unique facts of each case. Arguments against requiring harmonization of sanctions are based on differences between sports including, for example, the following: in some sports the Athletes are professionals making a sizable income from the sport and in others the Athletes are true amateurs; in those sports where an Athlete’s career is short, a standard period of Ineligibility has a much more significant effect on the Athlete than in sports where careers are traditionally much longer. A primary argument in favor of harmonization is that it is simply not right that two Athletes from the same country who test positive for the same Prohibited Substance under similar circumstances should receive different sanctions only because they participate in different sports. In addition, too much flexibility in sanctioning has often been viewed as an unacceptable opportunity for some sporting organizations to be more lenient with dopers. The]
lack of harmonization of sanctions has also frequently been the source of conflicts between International Federations and National Anti-Doping Organizations.

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

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

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

[Comment to Article 10.1: Whereas Article 9 Disqualifies the result in a single *Competition* in which the *Athlete* tested positive (e.g., the 100 meter backstroke), this Article may lead to *Disqualification* of all results in all races during the *Event* (e.g., the swimming World Championships).]

10.1.1 If the *Athlete* establishes that he or she bears *No Fault* or *Negligence* for the violation, the *Athlete*’s individual results in the other *Competitions* shall not be *Disqualified*, unless the *Athlete*’s results in *Competitions* other than the *Competition* in which the anti-doping rule violation occurred were likely to have been affected by the *Athlete*’s anti-doping rule violation.

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

The period of *Ineligibility* for a violation of Article 2.1, 2.2 or 2.6 shall be as follows, subject to potential elimination, reduction or suspension pursuant to Article 10.5, 10.6 or 10.7:

10.2.1 The period of *Ineligibility*, subject to Article 10.2.4, shall be four (4) years where:

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

[Comment to Article 10.2.1.1: While it is theoretically possible for an *Athlete* or other *Person* to establish that the anti-doping rule violation was not intentional without showing how the *Prohibited Substance* entered one’s system, it is highly unlikely that in a doping case under Article 2.1 an *Athlete* will be successful in proving that the *Athlete* acted unintentionally without establishing the source of the *Prohibited Substance*.]

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10.2.1.2 The anti-doping rule violation involves a Specified Substance or a Specified Method and the Anti-Doping Organization can establish that the anti-doping rule violation was intentional.

10.2.2 If Article 10.2.1 does not apply, subject to Article 10.2.4.1, the period of Ineligibility shall be two years.

10.2.3 As used in Article 10.2, the term “intentional” is meant to identify those Athletes or other Persons who engage in conduct which 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 which is only prohibited In-Competition shall be rebuttably presumed to be not “intentional” if the substance is a Specified Substance and the Athlete can establish that the Prohibited Substance was Used Out-of-Competition. An anti-doping rule violation resulting from an Adverse Analytical Finding for a substance which is only prohibited In-Competition shall not be considered “intentional” if the substance is not a Specified Substance and the Athlete can establish that the Prohibited Substance was Used Out-of-Competition in a context unrelated to sport performance.

[Comment to Article 10.2.3: Article 10.2.3 provides a special definition of “intentional” which is to be applied solely for purposes of Article 10.2.]

10.2.4 Notwithstanding any other provision in Article 10.2, where the anti-doping rule violation involves a Substance of Abuse:

10.2.4.1 If the Athlete can establish that any ingestion or Use occurred Out-of-Competition and was unrelated to sport performance, then the period of Ineligibility shall be three months Ineligibility.

In addition, the period of Ineligibility calculated under this Article 10.2.4.1 may be reduced to one month if the Athlete or other Person satisfactorily completes a Substance of Abuse treatment program approved by the Anti-Doping Organization with Results Management responsibility. The period of Ineligibility established in this Article 10.2.4.1 is not subject to any reduction based on any provision in Article 10.6.

[Comment to Article 10.2.4.1: The determinations as to whether the treatment program is approved and whether the Athlete or other Person has satisfactorily completed the program shall be made in the sole discretion of the Anti-Doping Organization. This Article is intended to give Anti-Doping Organizations the leeway to apply their own judgment to identify and approve legitimate and reputable, as opposed to “sham”, treatment programs. It is anticipated, however, that the
characteristics of legitimate treatment programs may vary widely and change over time such that it would not be practical for WADA to develop mandatory criteria for acceptable treatment programs.

10.2.4.2 If the ingestion, Use or Possession occurred In-Competition, and the Athlete can establish that the context of the ingestion, Use or Possession was unrelated to sport performance, then the ingestion, Use or Possession shall not be considered intentional for purposes of Article 10.2.1 and shall not provide a basis for a finding of Aggravating Circumstances under Article 10.4.

10.3 Ineligibility for Other Anti-Doping Rule Violations

The period of Ineligibility for anti-doping rule violations other than as provided in Article 10.2 shall be as follows, unless Article 10.6 or 10.7 are applicable:

10.3.1 For violations of Article 2.3 or 2.5, the period of Ineligibility shall be four years except: (i) in the case of failing to submit to Sample collection, if the Athlete can establish that the commission of the anti-doping rule violation was not intentional, the period of Ineligibility shall be two years; (ii) in all other cases, if the Athlete or other Person can establish exceptional circumstances that justify a reduction of the period of Ineligibility, the period of Ineligibility shall be in a range from two years to four years depending on the Athlete or other Person's degree of Fault; or (iii) in a case involving a Protected Person or Recreational Athlete, the period of Ineligibility shall be in a range between a maximum of two years and, at a minimum, a reprimand and no period of Ineligibility, depending on the Protected Person or Recreational Athlete's degree of Fault.

10.3.2 For violations of Article 2.4, the period of Ineligibility shall be two years, subject to reduction down to a minimum of one year, depending on the Athlete's degree of Fault. The flexibility between two years and one year of Ineligibility in this Article is not available to Athletes where a pattern of last-minute whereabouts changes or other conduct raises a serious suspicion that the Athlete was trying to avoid being available for Testing.

10.3.3 For violations of Article 2.7 or 2.8, the period of Ineligibility shall be a minimum of four years up to lifetime Ineligibility, depending on the seriousness of the violation. An Article 2.7 or Article 2.8 violation involving a Protected Person shall be considered a particularly serious violation and, if committed by Athlete Support Personnel for violations other than for Specified Substances, shall result in lifetime Ineligibility for Athlete Support Personnel. In addition, significant violations of Article 2.7 or 2.8 which may also violate non-sporting laws and regulations, shall be reported to the competent administrative, professional or judicial authorities.
[Comment to Article 10.3.3: Those who are involved in doping Athletes or covering up doping should be subject to sanctions which are more severe than the Athletes who test positive. Since the authority of sport organizations is generally limited to Ineligibility for accreditation, membership and other sport benefits, reporting Athlete Support Personnel to competent authorities is an important step in the deterrence of doping.]

10.3.4 For violations of Article 2.9, the period of Ineligibility imposed shall be a minimum of two years, up to lifetime Ineligibility, depending on the seriousness of the violation.

10.3.5 For violations of Article 2.10, the period of Ineligibility shall be two years, subject to reduction down to a minimum of one year, depending on the Athlete or other Person’s degree of Fault and other circumstances of the case.

[Comment to Article 10.3.5: Where the “other Person” referenced in Article 2.10 (Prohibited Association by an Athlete or Other Person) is an entity and not an individual, that entity may be disciplined as provided in Article 12.]

10.3.6 For violations of Article 2.11, the period of Ineligibility shall be a minimum of two years, up to lifetime Ineligibility, depending on the seriousness of the violation by the Athlete or other Person.

[Comment to Article 10.3.6: Conduct that is found to violate both Article 2.5 (Tampering) and Article 2.11 (Acts by an Athlete or Other Person to Discourage or Retaliate Against Reporting to Authorities) shall be sanctioned based on the violation that carries the more severe sanction.]

10.4 Aggravating Circumstances which may Increase the Period of Ineligibility

If the Anti-Doping Organization establishes in an individual case involving an anti-doping rule violation other than violations under Article 2.7 (Trafficking or Attempted Trafficking), 2.8 (Administration or Attempted Administration), 2.9 (Complicity or Attempted Complicity) or 2.11 (Acts by an Athlete or Other Person to Discourage or Retaliate Against Reporting) that Aggravating Circumstances are present which justify the imposition of a period of Ineligibility greater than the standard sanction, then the period of Ineligibility otherwise applicable shall be increased by an additional period of Ineligibility of up to two (2) years depending on the seriousness of the violation and the nature of the Aggravating Circumstances, unless the Athlete or other Person can establish that he or she did not knowingly commit the anti-doping rule violation.

[Comment to Article 10.4: Violations under Articles 2.7 (Trafficking or Attempted Trafficking), 2.8 (Administration or Attempted Administration), 2.9 (Complicity or Attempted Complicity) and 2.11 (Acts by an Athlete or Other Person to Discourage or Retaliate Against Reporting) are not included in the application of Article 10.4 because the sanctions for these violations already build in sufficient discretion up to a lifetime ban to allow consideration of any aggravating circumstance.]
10.5 Elimination of the Period of Ineligibility where there is No Fault or Negligence

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

[Comment to Article 10.5: This Article and Article 10.6.2 apply only to the imposition of sanctions; they are not applicable to the determination of whether an anti-doping rule violation has occurred. They will only apply in exceptional circumstances, for example, where an Athlete could prove that, despite all due care, he or she was sabotaged by a competitor. Conversely, No Fault or Negligence would not apply in the following circumstances: (a) a positive test resulting from a mislabeled or contaminated vitamin or nutritional supplement (Athletes are responsible for what they ingest (Article 2.1) and have been warned against the possibility of supplement contamination); (b) the Administration of a Prohibited Substance by the Athlete’s personal physician or trainer without disclosure to the Athlete (Athletes are responsible for their choice of medical personnel and for advising medical personnel that they cannot be given any Prohibited Substance); and (c) sabotage of the Athlete’s food or drink by a spouse, coach or other Person within the Athlete’s circle of associates (Athletes are responsible for what they ingest and for the conduct of those Persons to whom they entrust access to their food and drink). However, depending on the unique facts of a particular case, any of the referenced illustrations could result in a reduced sanction under Article 10.6 based on No Significant Fault or Negligence.]

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

10.6.1 Reduction of Sanctions in Particular Circumstances for Violations of Article 2.1, 2.2 or 2.6.

All reductions under Article 10.6.1 are mutually exclusive and not cumulative.

10.6.1.1 Specified Substances or Specified Methods

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

10.6.1.2 Contaminated Products

In cases where the Athlete or other Person can establish both No Significant Fault or Negligence and that the detected Prohibited Substance (other than a Substance of Abuse) came from a Contaminated Product, then the period of Ineligibility shall be, at a minimum, a reprimand and no period of Ineligibility, and at a maximum, two years Ineligibility, depending on the Athlete or other Person’s degree of Fault.
[Comment to Article 10.6.1: In order to receive the benefit of this Article, the Athlete or other Person must establish not only that the detected Prohibited Substance came from a Contaminated Product, but must also separately establish No Significant Fault or Negligence. It should be further noted that Athletes are on notice that they take nutritional supplements at their own risk. The sanction reduction based on No Significant Fault or Negligence has rarely been applied in Contaminated Product cases unless the Athlete has exercised a high level of caution before taking the Contaminated Product. In assessing whether the Athlete can establish the source of the Prohibited Substance, it would, for example, be significant for purposes of establishing whether the Athlete actually Used the Contaminated Product, whether the Athlete had declared the product which was subsequently determined to be contaminated on the Doping Control form.

This Article should not be extended beyond products that have gone through some process of manufacturing. Where an Adverse Analytical Finding results from environment contamination of a “non-product” such as tap water or lake water in circumstances where no reasonable person would expect any risk of an anti-doping rule violation, typically there would be No Fault or Negligence under Article 10.5.]

10.6.1.3 Protected Persons or Recreational Athletes

Where the anti-doping rule violation not involving a Substance of Abuse is committed by a Protected Person or Recreational Athlete, and the Protected Person or Recreational Athlete 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 Ineligibility, depending on the Protected Person or Recreational Athlete's degree of Fault.

10.6.2 Application of No Significant Fault or Negligence beyond the Application of Article 10.6.1

If an Athlete or other Person establishes in an individual case where Article 10.6.1 is not applicable, that he or she bears No Significant Fault or Negligence, then, subject to further reduction or elimination as provided in Article 10.7, the otherwise applicable period of Ineligibility may be reduced based on the Athlete or other Person's degree of Fault, but the reduced period of Ineligibility may not be less than one-half of the period of Ineligibility otherwise applicable. If the otherwise applicable period of Ineligibility is a lifetime, the reduced period under this Article may be no less than eight years.

[Comment to Article 10.6.2: Article 10.6.2 may be applied to any anti-doping rule violation, except those Articles where intent is an element of the anti-doping rule violation (e.g., Article 2.5, 2.7, 2.8, 2.9 or 2.11) or an element of a particular sanction (e.g., Article 10.2.1) or a range of Ineligibility is already provided in an Article based on the Athlete or other Person's degree of Fault.]
10.7 Elimination, Reduction, or Suspension of Period of Ineligibility or other Consequences for Reasons other than Fault

10.7.1 Substantial Assistance in Discovering or Establishing Code Violations

[Comment to Article 10.7.1: The cooperation of Athletes, Athlete Support Personnel and other Persons who acknowledge their mistakes and are willing to bring other anti-doping rule violations to light is important to clean sport.]

10.7.1.1 An Anti-Doping Organization with Results Management responsibility for an anti-doping rule violation may, prior to an appellate decision under Article 13 or the expiration of the time to appeal, suspend a part of the Consequences (other than Disqualification and mandatory Public Disclosure) imposed in an individual case where the Athlete or other Person has provided Substantial Assistance to an Anti-Doping Organization, criminal authority or professional disciplinary body which results in: (i) the Anti-Doping Organization discovering or bringing forward an anti-doping rule violation by another Person; or (ii) which results in a criminal or disciplinary body discovering or bringing forward a criminal offense or the breach of professional rules committed by another Person and the information provided by the Person providing Substantial Assistance is made available to the Anti-Doping Organization with Results Management responsibility; or (iii) which results in WADA initiating a proceeding against a Signatory, WADA-accredited laboratory or Athlete passport management unit (as defined in the International Standard for Laboratories) for non-compliance with the Code, International Standard or Technical Document; or (iv) with the approval by WADA, which results in a criminal or disciplinary body bringing forward a criminal offense or the breach of professional or sport rules arising out of a sport integrity violation other than doping. After an appellate decision under Article 13 or the expiration of time to appeal, an Anti-Doping Organization may only suspend a part of the otherwise applicable Consequences with the approval of WADA and the applicable International Federation.

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, non-compliance with the Code and/or sport integrity violations. No more than three-quarters of the otherwise applicable period of Ineligibility may be suspended. If the otherwise applicable period of Ineligibility is a lifetime,
the non-suspended period under this Article must be no less than eight years. For purposes of this paragraph, the otherwise applicable period of Ineligibility shall not include any period of Ineligibility that could be added under Article 10.9.3.2.

If so requested by an Athlete or other Person who seeks to provide Substantial Assistance, the Anti-Doping Organization with Results Management responsibility shall allow the Athlete or other Person to provide the information to the Anti-Doping Organization subject to a Without Prejudice Agreement.

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 Consequences was based, the Anti-Doping Organization that suspended Consequences shall reinstate the original Consequences. If an Anti-Doping Organization decides to reinstate suspended Consequences or decides not to reinstate suspended Consequences that decision may be appealed by any Person entitled to appeal under Article 13.

10.7.1.2 To further encourage Athletes and other Persons to provide Substantial Assistance to Anti-Doping Organizations, at the request of the Anti-Doping Organization conducting Results Management or at the request of the Athlete or other Person who has, or has been asserted to have, committed an anti-doping rule violation, or other violation of the Code, WADA may agree at any stage of the Results Management process, including after an appellate decision under Article 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 Article, or even no period of Ineligibility, no mandatory Public Disclosure and/or no return of prize money or payment of fines or costs. WADA’s approval shall be subject to reinstatement of Consequences, as otherwise provided in this Article. Notwithstanding Article 13, WADA’s decisions in the context of this Article 10.7.1.2 may not be appealed.

10.7.1.3 If an Anti-Doping Organization 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 Organizations with a right to appeal under Article 13.2.3 as provided in Article 14.
In unique circumstances where WADA determines that it would be in the best interest of anti-doping, WADA may authorize an Anti-Doping Organization to enter into appropriate confidentiality agreements limiting or delaying the disclosure of the Substantial Assistance agreement or the nature of Substantial Assistance being provided.

10.7.2 Admission of an Anti-Doping Rule Violation in the Absence of Other Evidence

Where an Athlete or other Person voluntarily admits the commission of an anti-doping rule violation before having received notice of a Sample collection which could establish an anti-doping rule violation (or, in the case of an anti-doping rule violation other than Article 2.1, before receiving first notice of the admitted violation pursuant to Article 7) and that admission is the only reliable evidence of the violation at the time of admission, then the period of Ineligibility may be reduced, but not below one-half of the period of Ineligibility otherwise applicable.

[Comment to Article 10.7.2: This Article is intended to apply when an Athlete or other Person comes forward and admits to an anti-doping rule violation in circumstances where no Anti-Doping Organization is aware that an anti-doping rule violation might have been committed. It is not intended to apply to circumstances where the admission occurs after the Athlete or other Person believes he or she is about to be caught. The amount by which Ineligibility is reduced should be based on the likelihood that the Athlete or other Person would have been caught had he or she not come forward voluntarily.]

10.7.3 Application of Multiple Grounds for Reduction of a Sanction

Where an Athlete or other Person establishes entitlement to reduction in sanction under more than one provision of Article 10.5, 10.6 or 10.7, before applying any reduction or suspension under Article 10.7, the otherwise applicable period of Ineligibility shall be determined in accordance with Articles 10.2, 10.3, 10.5, and 10.6. If the Athlete or other Person establishes entitlement to a reduction or suspension of the period of Ineligibility under Article 10.7, then the period of Ineligibility may be reduced or suspended, but not below one-fourth of the otherwise applicable period of Ineligibility.

10.8 Results Management Agreements

10.8.1 One-Year Reduction for Certain Anti-Doping Rule Violations Based on Early Admission and Acceptance of Sanction

Where an Athlete or other Person, after being notified by an Anti-Doping Organization of a potential anti-doping rule violation that carries an asserted period of Ineligibility of four or more years (including any period of Ineligibility asserted under Article 10.4), admits
the violation and accepts the asserted period of Ineligibility no later than 20 days after receiving notice of an anti-doping rule violation charge, the Athlete or other Person may receive a one-year reduction in the period of Ineligibility asserted by the Anti-Doping Organization. Where the Athlete or other Person receives the one-year reduction in the asserted period of Ineligibility under this Article 10.8.1, no further reduction in the asserted period of Ineligibility shall be allowed under any other Article.

[Comment to Article 10.8.1: For example, if an Anti-Doping Organization alleges that an Athlete has violated Article 2.1 for Use of an anabolic steroid and asserts the applicable period of Ineligibility is four years, then the Athlete may unilaterally reduce the period of Ineligibility to three years by admitting the violation and accepting the three-year period of Ineligibility within the time specified in this Article, with no further reduction allowed. This resolves the case without any need for a hearing.]

10.8.2 Case Resolution Agreement

Where the Athlete or other Person admits an anti-doping rule violation after being confronted with the anti-doping rule violation by an Anti-Doping Organization and agrees to Consequences acceptable to the Anti-Doping Organization and WADA, at their sole discretion, then: (a) the Athlete or other Person may receive a reduction in the period of Ineligibility based on an assessment by the Anti-Doping Organization and WADA of the application of Articles 10.1 through 10.7 to the asserted anti-doping rule violation, the seriousness of the violation, the Athlete or other Person’s degree of Fault and how promptly the Athlete or other Person admitted the violation; and (b) the period of Ineligibility may start as early as the date of Sample collection or the date on which another anti-doping rule violation last occurred. In each case, however, where this Article is applied, the Athlete or other Person shall serve at least one-half of the agreed-upon period of Ineligibility going forward from the earlier of the date the Athlete or other Person accepted the imposition of a sanction or a Provisional Suspension which was subsequently respected by the Athlete or other Person. The decision by WADA and the Anti-Doping Organization to enter or not enter into a case resolution agreement, and the amount of the reduction to, and the starting date of the period of Ineligibility, are not matters for determination or review by a hearing body and are not subject to appeal under Article 13.

If so requested by an Athlete or other Person who seeks to enter into a case resolution agreement under this Article, the Anti-Doping Organization with Results Management responsibility shall allow the Athlete or other Person to discuss an admission of the anti-doping rule violation with the Anti-Doping Organization subject to a Without Prejudice Agreement.
[Comment to Article 10.8.2: Any mitigating or aggravating factors set forth in this Article 10 shall be considered in arriving at the Consequences set forth in the case resolution agreement, and shall not be applicable beyond the terms of that agreement.

In some countries, the imposition of a period of Ineligibility is left entirely to a hearing body. In those countries, the Anti-Doping Organization may not assert a specific period of Ineligibility for purposes of Article 10.8.1 nor have the power to agree to a specific period of Ineligibility under Article 10.8.2. In these circumstances, Articles 10.8.1 and 10.8.2 will not be applicable but may be considered by the hearing body.]

10.9 Multiple Violations

10.9.1 Second or Third Anti-Doping Rule Violation

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

(a) A six month period of Ineligibility; or

(b) A period of Ineligibility in the range between:

(i) the sum of the period of Ineligibility imposed for the first anti-doping rule violation plus the period of Ineligibility otherwise applicable to the second anti-doping rule violation treated as if it were a first violation, and

(ii) twice the period of Ineligibility otherwise applicable to the second anti-doping rule violation treated as if it were a first violation.

The period of Ineligibility within this range shall be determined based on the entirety of the circumstances and the Athlete or other Person’s degree of Fault with respect to the second violation.

10.9.1.2 A third anti-doping rule violation will always result in a lifetime period of Ineligibility, except if the third violation fulfills the condition for elimination or reduction of the period of Ineligibility under Article 10.5 or 10.6, or involves a violation of Article 2.4. In these particular cases, the period of Ineligibility shall be from eight years to lifetime Ineligibility.

10.9.1.3 The period of Ineligibility established in Articles 10.9.1.1 and 10.9.1.2 may then be further reduced by the application of Article 10.7.

10.9.2 An anti-doping rule violation for which an Athlete or other Person has established No Fault or Negligence shall not be considered a violation for purposes of Article 10.9. In addition,
an anti-doping rule violation sanctioned under Article 10.2.4.1 shall not be considered a violation for purposes of Article 10.9.

10.9.3 Additional Rules for Certain Potential Multiple Violations

10.9.3.1 For purposes of imposing sanctions under Article 10.9, except as provided in Articles 10.9.3.2 and 10.9.3.3, an anti-doping rule violation will only be considered a second violation if the Anti-Doping Organization can establish that the Athlete or other Person committed the additional anti-doping rule violation after the Athlete or other Person received notice pursuant to Article 7, or after the Anti-Doping Organization made reasonable efforts to give notice of the first anti-doping rule violation. If the Anti-Doping Organization cannot establish this, the violations shall be considered together as one single first violation, and the sanction imposed shall be based on the violation that carries the more severe sanction, including the application of Aggravating Circumstances. Results in all Competitions dating back to the earlier anti-doping rule violation will be Disqualified as provided in Article 10.10.

[Comment to Article 10.9.3.1: The same rule applies where, after the imposition of a sanction, the Anti-Doping Organization discovers facts involving an anti-doping rule violation that occurred prior to notification for a first anti-doping rule violation—e.g., the Anti-Doping Organization shall impose a sanction based on the sanction that could have been imposed if the two violations had been adjudicated at the same time, including the application of Aggravating Circumstances.]

10.9.3.2 If the Anti-Doping Organization establishes that an Athlete or other Person committed an additional anti-doping rule violation prior to notification, and that the additional violation occurred 12 months or more before or after the first-noticed violation, then the period of Ineligibility for the additional violation shall be calculated as if the additional violation were a stand-alone first violation and this period of Ineligibility is served consecutively, rather than concurrently, with the period of Ineligibility imposed for the earlier-noticed violation. Where this Article 10.9.3.2 applies, the violations taken together shall constitute a single violation for purposes of Article 10.9.1.

10.9.3.3 If the Anti-Doping Organization establishes that an Athlete or other Person committed a violation of Article 2.5 in connection with the Doping Control process for an underlying asserted anti-doping rule violation, the violation of Article 2.5 shall be treated as a stand-alone first violation and the period of Ineligibility for such violation shall be served consecutively, rather than
concurrently, with the period of *Ineligibility*, if any, imposed for the underlying anti-doping rule violation. Where this Article 10.9.3.3 is applied, the violations taken together shall constitute a single violation for purposes of Article 10.9.1.

10.9.3.4 If an *Anti-Doping Organization* establishes that an *Athlete* or other *Person* has committed a second or third anti-doping rule violation during a period of *Ineligibility*, the periods of *Ineligibility* for the multiple violations shall run consecutively, rather than concurrently.

10.4 Multiple Anti-Doping Rule Violations during Ten-Year Period

For purposes of Article 10.9, each anti-doping rule violation must take place within the same ten-year period in order to be considered multiple violations.

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

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

[Comment to Article 10.10: Nothing in the *Code* precludes clean *Athletes* or other *Persons* who have been damaged by the actions of a *Person* who has committed an anti-doping rule violation from pursuing any right which they would otherwise have to seek damages from such *Person*.]

10.11 Forfeited Prize Money

An *Anti-Doping Organization* or other *Signatory* that has recovered prize money forfeited as a result of an anti-doping rule violation shall take reasonable measures to allocate and distribute this prize money to the *Athletes* who would have been entitled to it had the forfeiting *Athlete* not competed. An International Federation may provide in its rules whether or not the redistributed prize money shall be considered for purposes of its ranking of *Athletes*.

[Comment to Article 10.11: This Article is not intended to impose an affirmative duty on the *Anti-Doping Organization* or other *Signatory* to take any action to collect forfeited prize money. If the *Anti-Doping Organization* elects not to take any action to collect forfeited prize money, it may assign its right to recover such money to the *Athlete(s)* who should have otherwise received the money. “Reasonable measures to allocate and distribute this prize money” could include using collected forfeited prize money as agreed upon by an International Federation and its *Athletes*.]
10.12 Financial Consequences

Anti-Doping Organizations may, in their own rules, provide for proportionate recovery of costs or financial sanctions on account of anti-doping rule violations. However, Anti-Doping Organizations may only impose financial sanctions in cases where the maximum period of Ineligibility otherwise applicable has already been imposed. Financial sanctions may only be imposed where the principle of proportionality is satisfied. No recovery of costs or financial sanction may be considered a basis for reducing the Ineligibility or other sanction which would otherwise be applicable under the Code.

10.13 Commencement of Ineligibility Period

Where an Athlete is already serving a period of Ineligibility for an anti-doping rule violation, any new period of Ineligibility shall commence on the first day after the current period of Ineligibility has been served. Otherwise, except as provided below, the period of Ineligibility shall start on the date of the final hearing decision providing for Ineligibility or, if the hearing is waived or there is no hearing, on the date Ineligibility is accepted or otherwise imposed.

10.13.1 Delays Not Attributable to the Athlete or other Person

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

[Comment to Article 10.13.1: In cases of anti-doping rule violations other than under Article 2.1, the time required for an Anti-Doping Organization to discover and develop facts sufficient to establish an anti-doping rule violation may be lengthy, particularly where the Athlete or other Person has taken affirmative action to avoid detection. In these circumstances, the flexibility provided in this Article to start the sanction at an earlier date should not be used.]

10.13.2 Credit for Provisional Suspension or Period of Ineligibility Served

10.13.2.1 If a Provisional Suspension is respected by the Athlete or other Person, then the Athlete or other Person shall receive a credit for such period of Provisional Suspension against any period of Ineligibility which may ultimately be imposed. If the Athlete or other Person does not respect a Provisional Suspension, then the Athlete or other Person shall receive no credit for any period of Provisional Suspension served. If a period of Ineligibility is served pursuant to a decision that
is subsequently appealed, then the Athlete or other Person shall receive a credit for such period of Ineligibility served against any period of Ineligibility which may ultimately be imposed on appeal.

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

[Comment to Article 10.13.2.2: An Athlete’s voluntary acceptance of a Provisional Suspension is not an admission by the Athlete and shall not be used in any way to draw an adverse inference against the Athlete.]

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

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

10.14 Status during Ineligibility or Provisional Suspension

10.14.1 Prohibition against Participation during Ineligibility or Provisional Suspension

No Athlete or other Person who has been declared Ineligible or is subject to a Provisional Suspension may, during a period of Ineligibility or Provisional Suspension, participate in any capacity in a Competition or activity (other than authorized anti-doping Education or rehabilitation programs) authorized or organized by any Signatory, Signatory’s member organization, or a club or other member organization of a Signatory’s member organization, or in Competitions authorized or organized by any professional league or any international- or national-level Event organization or any elite or national-level sporting activity funded by a governmental agency.
[Comment to Article 10.14.1: For example, subject to Article 10.14.2 below, Ineligible Athletes cannot participate in a training camp, exhibition or practice organized by their National Federation or a club which is a member of that National Federation or which is funded by a governmental agency. Further, an Ineligible Athlete may not compete in a non-Signatory professional league (e.g., the National Hockey League, the National Basketball Association, etc.), Events organized by a non-Signatory International Event organization or a non-Signatory national-level Event organization without triggering the Consequences set forth in Article 10.14.3. The term “activity” also includes, for example, administrative activities, such as serving as an official, director, officer, employee, or volunteer of the organization described in this Article. Ineligibility imposed in one sport shall also be recognized by other sports (see Article 15.1, Automatic Binding Effect of Decisions). An Athlete or other Person serving a period of Ineligibility is prohibited from coaching or serving as an Athlete Support Person in any other capacity at any time during the period of Ineligibility, and doing so could also result in a violation of 2.10 by another Athlete. Any performance standard accomplished during a period of Ineligibility shall not be recognized by a Signatory or its National Federations for any purpose.]

An Athlete or other Person subject to a period of Ineligibility longer than four years may, after completing four years of the period of Ineligibility, participate as an Athlete in local sport events not sanctioned or otherwise under the authority of a Code Signatory or member of a Code Signatory, but only so long as the local sport event is not at a level that could otherwise qualify such Athlete or other Person directly or indirectly to compete in (or accumulate points toward) a national championship or International Event, and does not involve the Athlete or other Person working in any capacity with Protected Persons.

An Athlete or other Person subject to a period of Ineligibility shall remain subject to Testing and any requirement by an Anti-Doping Organization to provide whereabouts information.

10.14.2 Return to Training

As an exception to Article 10.14.1, an Athlete may return to train with a team or to use the facilities of a club or other member organization of a Signatory’s member organization 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.

[Comment to Article 10.14.2: In many Team Sports and some individual sports (e.g., ski jumping and gymnastics), Athletes cannot effectively train on their own so as to be ready to compete at the end of the Athlete’s period of Ineligibility. During the training period described in this Article, an Ineligible Athlete may not compete or engage in any activity described in Article 10.14.1 other than training.]
10.14.3 Violation of the Prohibition of Participation during Ineligibility or Provisional Suspension

Where an Athlete or other Person who has been declared Ineligible violates the prohibition against participation during Ineligibility described in Article 10.14.1, the results of such participation shall be Disqualified and 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, including a reprimand and no period of Ineligibility, may be adjusted based on the Athlete or other Person's degree of Fault and other circumstances of the case. The determination of whether an Athlete or other Person has violated the prohibition against participation, and whether an adjustment is appropriate, shall be made by the Anti-Doping Organization whose Results Management led to the imposition of the initial period of Ineligibility. This decision may be appealed under Article 13.

An Athlete or other Person who violates the prohibition against participation during a Provisional Suspension described in Article 10.14.1 shall receive no credit for any period of Provisional Suspension served and the results of such participation shall be Disqualified.

Where an Athlete Support Person or other Person assists a Person in violating the prohibition against participation during Ineligibility or a Provisional Suspension, an Anti-Doping Organization with authority over such Athlete Support Person or other Person shall impose sanctions for a violation of Article 2.9 for such assistance.

10.14.4 Withholding of Financial Support during Ineligibility

In addition, for any anti-doping rule violation not involving a reduced sanction as described in Article 10.5 or 10.6, some or all sport-related financial support or other sport-related benefits received by such Person will be withheld by Signatories, Signatories' member organizations and governments.

10.15 Automatic Publication of Sanction

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

ARTICLE 11 CONSEQUENCES TO TEAMS

11.1 Testing of Team Sports

Where more than one member of a team in a Team Sport has been notified of an anti-doping rule violation under Article 7 in connection with an Event, the ruling body for the Event shall conduct appropriate Target Testing of the team during the Event Period.
11.2 **Consequences for Team Sports**

If more than two members of a team in a Team Sport are found to have committed an anti-doping rule violation during an Event Period, the ruling body of the Event shall impose an appropriate sanction on the team (e.g., loss of points, Disqualification from a Competition or Event, or other sanction) in addition to any Consequences imposed upon the individual Athletes committing the anti-doping rule violation.

11.3 **Event Ruling Body or International Federation may Establish Stricter Consequences for Team Sports**

The ruling body for an Event may elect to establish rules for the Event which impose Consequences for Team Sports stricter than those in Article 11.2 for purposes of the Event. Similarly, an International Federation may elect to establish rules imposing stricter Consequences for Team Sports within its authority than those in Article 11.2.

[Comment to Article 11.3: For example, the International Olympic Committee could establish rules which would require Disqualification of a team from the Olympic Games based on a lesser number of anti-doping rule violations during the period of the Games.]

**ARTICLE 13 RESULTS MANAGEMENT: APPEALS**

[Comment to Article 13: The object of the Code is to have anti-doping matters resolved through fair and transparent internal processes with a final appeal. Anti-doping decisions by Anti-Doping Organizations are made transparent in Article 14. Specified Persons and organizations, including WADA, are then given the opportunity to appeal those decisions. Note that the definition of interested Persons and organizations with a right to appeal under Article 13 does not include Athletes, or their National Federations, who might benefit from having another competitor Disqualified.]

13.1 **Decisions Subject to Appeal**

Decisions made under the Code or under rules adopted pursuant to the Code may be appealed as set forth below in Articles 13.2 through 13.4 or as otherwise provided in the Code or International Standards. Such decisions shall remain in effect while under appeal unless the appellate body orders otherwise.

13.1.1 **Scope of Review Not Limited**

The scope of review on appeal includes all issues relevant to the matter and is expressly not limited to the issues or scope of review before the initial decision maker. Any party to the appeal may submit evidence, legal arguments and claims that were not raised in
the first instance hearing so long as they arise from the same cause of action or same
general facts or circumstances raised or addressed in the first instance hearing.

[Comment to Article 13.1: The revised language is not intended to make a substantive change to the 2015 Code, but rather for clarification. For example, where an Athlete was charged in the first instance hearing only with Tampering but the same conduct could also constitute Complicity, an appealing party could pursue both Tampering and Complicity charges against the Athlete in the appeal.]

13.1.2 CAS Shall Not Defer to the Findings Being Appealed

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

[Comment to Article 13.1.2: CAS proceedings are de novo. Prior proceedings do not limit the evidence or carry weight in the hearing before CAS.]

13.1.3 WADA Not Required to Exhaust Internal Remedies

[Comment to Article 13.1.3: Where a decision has been rendered before the final stage of an Anti-Doping Organization’s process (for example, a first hearing) and no party elects to appeal that decision to the next level of the Anti-Doping Organization’s process (e.g., the Managing Board), then WADA may bypass the remaining steps in the Anti-Doping Organization’s internal process and appeal directly to CAS.]

Where WADA has a right to appeal under Article 13 and no other party has appealed a final decision within the Anti-Doping Organization’s process, WADA may appeal such decision directly to CAS without having to exhaust other remedies in the Anti-Doping Organization’s process.

13.2 Appeals from Decisions Regarding Anti-Doping Rule Violations, Consequences, Provisional Suspensions, Implementation of Decisions and Authority

A decision that an anti-doping rule violation was committed, a decision imposing Consequences or not imposing Consequences for an anti-doping rule violation, or a decision that no anti-doping rule violation was committed; a decision that an anti-doping rule violation proceeding cannot go forward for procedural reasons (including, for example, prescription); a decision by WADA not to grant an exception to the six-months notice requirement for a retired Athlete to return to competition under Article 5.6.1; a decision by WADA assigning Results Management under Article 7.1; a decision by an Anti-Doping Organization not to bring forward an Adverse Analytical Finding or an Atypical Finding as an anti-doping rule violation, or a decision not to go forward with an anti-doping
rule violation after an investigation in accordance with the International Standard for Results Management; a decision to impose, or lift, a Provisional Suspension as a result of a Provisional Hearing; an Anti-Doping Organization’s failure to comply with Article 7.4; a decision that an Anti-Doping Organization lacks authority to rule on an alleged anti-doping rule violation or its Consequences; a decision to suspend, or not suspend, Consequences or to reinstate, or not reinstate, Consequences under Article 10.7.1; failure to comply with Articles 7.1.4 and 7.1.5; failure to comply with Article 10.8.1; a decision under Article 10.14.3; a decision by an Anti-Doping Organization not to implement another Anti-Doping Organization’s decision under Article 15; and a decision under Article 27.3 may be appealed exclusively as provided in this Article 13.2.

13.2.1 Appeals Involving International-Level Athletes or International Events

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

[Comment to Article 13.2.1: CAS decisions are final and binding except for any review required by law applicable to the annulment or enforcement of arbitral awards.]

13.2.2 Appeals Involving Other Athletes or Other Persons

In cases where Article 13.2.1 is not applicable, the decision may be appealed to an appellate body in accordance with rules established by the National Anti-Doping Organization. The rules for such appeal shall respect the following principles:

• a timely hearing;
• a fair, impartial, and Operationally Independent and Institutionally Independent hearing panel;
• the right to be represented by counsel at the Person’s own expense; and
• a timely, written, reasoned decision.

If no such body as described above is in place and available at the time of the appeal, the Athlete or other Person shall have a right to appeal to CAS.

13.2.3 Persons Entitled to Appeal

13.2.3.1 Appeals Involving International-Level Athletes or International Events

In cases under Article 13.2.1, 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) the relevant International Federation; (d) the National Anti-Doping Organization
of the Person’s country of residence or countries where the Person is a national or license holder; (e) the International Olympic Committee or International Paralympic Committee, as applicable, where the decision may have an effect in relation to the Olympic Games or Paralympic Games, including decisions affecting eligibility for the Olympic Games or Paralympic Games; and (f) WADA.

13.2.3.2 Appeals Involving Other Athletes or Other Persons

In cases under Article 13.2.2, the parties having the right to appeal to the appellate body shall be as provided in the National Anti-Doping Organization’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) the relevant International Federation; (d) the National Anti-Doping Organization of the Person’s country of residence or countries where the Person is a national or license holder; (e) the International Olympic Committee or International Paralympic Committee, as applicable, where the decision may have an effect in relation to the Olympic Games or Paralympic Games, including decisions affecting eligibility for the Olympic Games or Paralympic Games, and (f) WADA. For cases under Article 13.2.2, WADA, the International Olympic Committee, the International Paralympic Committee, and the relevant International Federation shall also have the right to appeal to CAS with respect to the decision of the national-level appeal body. Any party filing an appeal shall be entitled to assistance from CAS to obtain all relevant information from the Anti-Doping Organization whose decision is being appealed and the information shall be provided if CAS so directs.

13.2.3.3 Duty to Notify

All parties to any CAS appeal must ensure that WADA and all other parties with a right to appeal have been given timely notice of the appeal.

13.2.3.4 Appeal Deadline for Parties Other than WADA

The deadline to file an appeal for parties other than WADA shall be as provided in the rules of the Anti-Doping Organization conducting Results Management.

13.2.3.5 Appeal Deadline for WADA

The filing deadline for an appeal filed by WADA shall be the later of:
(a) Twenty-one (21) days after the last day on which any other party having a right to appeal could have appealed, or

(b) Twenty-one (21) days after WADA’s receipt of the complete file relating to the decision.

[Comments to Article 13.2.3: Whether governed by CAS rules or Article 13.2.3, a party’s deadline to appeal does not begin running until receipt of the decision. For that reason, there can be no expiration of a party’s right to appeal if the party has not received the decision.]

13.2.3.6 Appeal from Imposition of Provisional Suspension

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

13.2.4 Cross Appeals and other Subsequent Appeals Allowed

[Comment to Article 13.2.4: This provision is necessary because since 2011, CAS rules no longer permit an Athlete the right to cross appeal when an Anti-Doping Organization appeals a decision after the Athlete’s time for appeal has expired. This provision permits a full hearing for all parties.]

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

13.3 Failure to Render a Timely Decision by an Anti-Doping Organization

[Comment to Article 13.3: Given the different circumstances of each anti-doping rule violation investigation, Results Management and hearing process, it is not feasible to establish a fixed time period for an Anti-Doping Organization to render a decision before WADA may intervene by appealing directly to CAS. Before taking such action, however, WADA will consult with the Anti-Doping Organization and give the Anti-Doping Organization an opportunity to explain why it has not yet rendered a decision. Nothing in this Article prohibits an International Federation from also having rules which authorize it to assume authority for matters in which the Results Management performed by one of its National Federations has been inappropriately delayed.]

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

13.4 Appeals Relating to TUEs

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

13.5 Notification of Appeal Decisions

Any Anti-Doping Organization 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 Organizations 
that would have been entitled to appeal under Article 13.2.3 as provided under Article 14.

ARTICLE 15 IMPLEMENTATION OF DECISIONS

15.1 Automatic Binding Effect of Decisions by Signatory Anti-Doping Organizations

15.1.1 A decision of an anti-doping rule violation made by a Signatory Anti-Doping Organization, 
an appellate body (Article 13.2.2) or CAS shall, after the parties to the proceeding are 
notified, automatically be binding beyond the parties to the proceeding upon every 
Signatory in every sport with the effects described below:

15.1.1.1 A decision by any of the above-described bodies imposing a Provisional 
Suspension (after a Provisional Hearing has occurred or the Athlete or other 
Person has either accepted the Provisional Suspension or has waived the right 
to a Provisional Hearing, expedited hearing or expedited appeal offered in 
accordance with Article 7.4.3) automatically prohibits the Athlete or other Person 
from participation (as described in Article 10.14.1) in all sports within the authority 
of any Signatory during the Provisional Suspension.

15.1.1.2 A decision by any of the above-described bodies imposing a period of Ineligibility 
(after a hearing has occurred or been waived) automatically prohibits the Athlete 
or other Person from participation (as described in Article 10.14.1) in all sports 
within the authority of any Signatory for the period of Ineligibility.

15.1.1.3 A decision by any of the above-described bodies accepting an anti-doping rule 
violation automatically binds all Signatories.

15.1.1.4 A decision by any of the above-described bodies to Disqualify results under 
Article 10.10 for a specified period automatically Disqualifies all results obtained 
within the authority of any Signatory during the specified period.
15.1.2 Each Signatory is under the obligation to recognize and implement a decision and its effects as required by Article 15.1.1, without any further action required, on the earlier of the date the Signatory receives actual notice of the decision or the date the decision is placed into ADAMS.

15.1.3 A decision by an Anti-Doping Organization, an appellate body or CAS to suspend, or lift, Consequences shall be binding upon each Signatory without any further action required, on the earlier of the date the Signatory receives actual notice of the decision or the date the decision is placed into ADAMS.

15.1.4 Notwithstanding any provision in Article 15.1.1, however, a decision of an anti-doping rule violation by a Major Event Organization made in an expedited process during an Event shall not be binding on other Signatories unless the rules of the Major Event Organization provide the Athlete or other Person with an opportunity to an appeal under non-expedited procedures.

[Comment to Article 15.1.4: By way of example, where the rules of the Major Event Organization give the Athlete or other Person the option of choosing an expedited CAS appeal or a CAS appeal under normal CAS procedure, the final decision or adjudication by the Major Event Organization is binding on other Signatories regardless of whether the Athlete or other Person chooses the expedited appeal option.]

15.2 Implementation of Other Decisions by Anti-Doping Organizations

Signatories may decide to implement other anti-doping decisions rendered by Anti-Doping Organizations not described in Article 15.1.1 above, such as a Provisional Suspension prior to Provisional Hearing or acceptance by the Athlete or other Person.

[Comment to Articles 15.1 and 15.2: Anti-Doping Organization decisions under Article 15.1 are implemented automatically by other Signatories without the requirement of any decision or further action on the Signatories’ part. For example, when a National Anti-Doping Organization decides to Provisionally Suspend an Athlete, that decision is given automatic effect at the International Federation level. To be clear, the “decision” is the one made by the National Anti-Doping Organization, there is not a separate decision to be made by the International Federation. Thus, any claim by the Athlete that the Provisional Suspension was improperly imposed can only be asserted against the National Anti-Doping Organization. Implementation of Anti-Doping Organizations’ decisions under Article 15.2 is subject to each Signatory’s discretion. A Signatory’s implementation of a decision under Article 15.1 or Article 15.2 is not appealable separately from any appeal of the underlying decision. The extent of recognition of TUE decisions of other Anti-Doping Organizations shall be determined by Article 4.4 and the International Standard for Therapeutic Use Exemptions.]
15.3 Implementation of Decisions by Body that is not a Signatory

An anti-doping decision by a body that is not a Signatory to the Code shall be implemented by each Signatory if the Signatory finds that the decision purports to be within the authority of that body and the anti-doping rules of that body are otherwise consistent with the Code.

[Comment to Article 15.3: Where the decision of a body that has not accepted the Code is in some respects Code compliant and in other respects not Code compliant, Signatories should attempt to apply the decision in harmony with the principles of the Code. For example, if in a process consistent with the Code a non-Signatory has found an Athlete to have committed an anti-doping rule violation on account of the presence of a Prohibited Substance in the Athlete’s body but the period of Ineligibility applied is shorter than the period provided for in the Code, then all Signatories should recognize the finding of an anti-doping rule violation and the Athlete’s National Anti-Doping Organization should conduct a hearing consistent with Article 8 to determine whether the longer period of Ineligibility provided in the Code should be imposed. A Signatory’s implementation of a decision or its decision not to implement a decision under Article 15.3, is appealable under Article 13.]

ARTICLE 17 STATUTE OF LIMITATIONS

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

ARTICLE 19 RESEARCH

19.4 Research Practices

Anti-doping research shall comply with internationally-recognized ethical practices.

19.5 Research Using Prohibited Substances and Prohibited Methods

Research efforts should avoid the Administration of Prohibited Substances or Prohibited Methods to Athletes.

19.6 Misuse of Results

Adequate precautions should be taken so that the results of anti-doping research are not misused and applied for doping purposes.
ARTICLE 21 ADDITIONAL ROLES AND RESPONSIBILITIES OF ATHLETES AND OTHER PERSONS

21.1 Roles and Responsibilities of Athletes

21.1.1 To be knowledgeable of and comply with all applicable anti-doping policies and rules adopted pursuant to the Code.

21.1.2 To be available for Sample collection at all times.

[Comment to Article 21.1.2: With due regard to an Athlete’s human rights and privacy, legitimate anti-doping considerations sometimes require Sample collection late at night or early in the morning. For example, it is known that some Athletes Use low doses of EPO during these hours so that it will be undetectable in the morning.]

21.1.3 To take responsibility, in the context of anti-doping, for what they ingest and Use.

21.1.4 To inform medical personnel of their obligation not to Use Prohibited Substances and Prohibited Methods and to take responsibility to make sure that any medical treatment received does not violate anti-doping policies and rules adopted pursuant to the Code.

21.1.5 To disclose to their National Anti-Doping Organization and International Federation any decision by a non-Signatory finding that the Athlete committed an anti-doping rule violation within the previous ten years.

21.1.6 To cooperate with Anti-Doping Organizations investigating anti-doping rule violations.

[Comment to Article 21.1.6: Failure to cooperate is not an anti-doping rule violation under the Code, but it may be the basis for disciplinary action under a Signatory’s rules.]

21.1.7 To disclose the identity of their Athlete Support Personnel upon request by any Anti-Doping Organization with authority over the Athlete.

21.2 Roles and Responsibilities of Athlete Support Personnel

21.2.1 To be knowledgeable of and comply with all anti-doping policies and rules adopted pursuant to the Code and which are applicable to them or the Athletes whom they support.

21.2.2 To cooperate with the Athlete Testing program.

21.2.3 To use their influence on Athlete values and behavior to foster anti-doping attitudes.

21.2.4 To disclose to their National Anti-Doping Organization and International Federation any decision by a non-Signatory finding that they committed an anti-doping rule violation within the previous ten years.
21.2.5 To cooperate with Anti-Doping Organizations investigating anti-doping rule violations.

[Comment to Article 21.2.5: Failure to cooperate is not an anti-doping rule violation under the Code, but it may be the basis for disciplinary action under a Signatory’s rules.]

21.2.6 Athlete Support Personnel shall not Use or Possess any Prohibited Substance or Prohibited Method without valid justification.

[Comment to Article 21.2.6: In those situations where Use or personal Possession of a Prohibited Substance or Prohibited Method by an Athlete Support Person without justification is not an anti-doping rule violation under the Code, it should be subject to other sport disciplinary rules. Coaches and other Athlete Support Personnel are often role models for Athletes. They should not be engaging in personal conduct which conflicts with their responsibility to encourage their Athletes not to dope.]

21.3 Roles and Responsibilities of other Persons Subject to the Code

21.3.1 To be knowledgeable of and comply with all anti-doping policies and rules adopted pursuant to the Code and which are applicable to them.

21.3.2 To disclose to their National Anti-Doping Organization and International Federation any decision by a non-Signatory finding that they committed an anti-doping rule violation within the previous ten years.

21.3.3 To cooperate with Anti-Doping Organizations investigating anti-doping rule violations.

ARTICLE 26 INTERPRETATION OF THE CODE

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

26.2 The comments annotating various provisions of the Code shall be used to interpret the Code.

26.3 The Code shall be interpreted as an independent and autonomous text and not by reference to the existing law or statutes of the Signatories or governments.

26.4 The headings used for the various Parts and Articles of the Code are for convenience only and shall not be deemed part of the substance of the Code or to affect in any way the language of the provisions to which they refer.

26.5 Where the term “days” is used in the Code or an International Standard, it shall mean calendar days unless otherwise specified.
26.6 The Code shall not apply retroactively to matters pending before the date the Code is accepted by a Signatory and implemented in its rules. However, pre-Code anti-doping rule violations would continue to count as “First violations” or “Second violations” for purposes of determining sanctions under Article 10 for subsequent post-Code violations.

26.7 The Purpose, Scope and Organization of the World Anti-Doping Program and the Code and Appendix 1, Definitions and Appendix 2, Examples of the Application of Article 10, shall be considered integral parts of the Code.

ARTICLE 27 TRANSITIONAL PROVISIONS

27.1 General Application of the 2021 Code

The 2021 Code shall apply in full as of 1 January 2021 (the “Effective Date”).

27.2 Non-Retroactive except for Articles 10.9.4 and 17 or Unless Principle of “Lex Mitior” Applies

Any anti-doping rule violation case which is pending as of the Effective Date and any anti-doping rule violation case brought after the Effective Date based on an anti-doping rule violation which occurred prior to the Effective Date shall be governed by the substantive anti-doping rules in effect at the time the alleged anti-doping rule violation occurred, and not by the substantive anti-doping rules set out in this 2021 Code, unless the panel hearing the case determines the principle of “lex mitior” appropriately applies under the circumstances of the case. For these purposes, the retrospective periods in which prior violations can be considered for purposes of multiple violations under Article 10.9.4 and the statute of limitations set forth in Article 17 are procedural rules, not substantive rules, and should be applied retroactively along with all of the other procedural rules in the 2021 Code (provided, however, that Article 17 shall only be applied retroactively if the statute of limitation period has not already expired by the Effective Date).

27.3 Application to Decisions Rendered Prior to the 2021 Code

With respect to cases where a final decision finding an anti-doping rule violation has been rendered prior to the Effective Date, but the Athlete or other Person is still serving the period of Ineligibility as of the Effective Date, the Athlete or other Person may apply to the Anti-Doping Organization which had Results Management responsibility for the anti-doping rule violation to consider a reduction in the period of Ineligibility in light of the 2021 Code. Such application must be made before the period of Ineligibility has expired. The decision rendered by the Anti-Doping Organization may be appealed pursuant to Article 13.2. The 2021 Code shall have no application to
any anti-doping rule violation case where a final decision finding an anti-doping rule violation has been rendered and the period of Ineligibility has expired.

27.4 Multiple Violations Where the First Violation Occurs Prior to 1 January 2021

For purposes of assessing the period of Ineligibility for a second violation under Article 10.9.1, where the sanction for the first violation was determined based on pre-2021 Code rules, the period of Ineligibility which would have been assessed for that first violation had 2021 Code rules been applicable, shall be applied.

[Comment to Article 27.4: Other than the situation described in Article 27.4, where a final decision finding an anti-doping rule violation has been rendered prior to the existence of the Code or under the Code in force before the 2021 Code and the period of Ineligibility imposed has been completely served, the 2021 Code may not be used to re-characterize the prior violation.]

27.5 Additional Code Amendments

Any additional Code Amendments shall go into effect as provided in Article 27.1.

27.6 Changes to the Prohibited List

Changes to the Prohibited List and Technical Documents relating to substances or methods on the Prohibited List shall not, unless they specifically provide otherwise, be applied retroactively. As an exception, however, when a Prohibited Substance or Prohibited Method has been removed from the Prohibited List, an Athlete or other Person currently serving a period of Ineligibility on account of the formerly Prohibited Substance or Prohibited Method may apply to the Anti-Doping Organization which had Results Management responsibility for the anti-doping rule violation to consider a reduction in the period of Ineligibility in light of the removal of the substance or method from the Prohibited List.
APPENDIX 1: DEFINITIONS

[Comment to Definitions: Defined terms shall include their plural and possessive forms, as well as those terms used as other parts of speech.]

**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, establishes in a Sample the presence of a Prohibited Substance or its Metabolites or Markers or evidence of the Use of a Prohibited Method.

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

**Aggravating Circumstances:** Circumstances involving, or actions by, an Athlete or other Person which may justify the imposition of a period of Ineligibility greater than the standard sanction. Such circumstances and actions shall include, but are not limited to: the Athlete or other Person Used or Possessed multiple Prohibited Substances or Prohibited Methods, Used or Possessed a Prohibited Substance or Prohibited Method on multiple occasions or committed multiple other anti-doping rule violations; a normal individual would be likely to enjoy the performance-enhancing effects of the anti-doping rule violation(s) beyond the otherwise applicable period of Ineligibility; the Athlete or Person engaged in deceptive or obstructive conduct to avoid the detection or adjudication of an anti-doping rule violation; or the Athlete or other Person engaged in Tampering during Results Management. For the avoidance of doubt, the examples of circumstances and conduct described herein are not exclusive and other similar circumstances or conduct may also justify the imposition of a longer period of Ineligibility.
**Anti-Doping Activities:** Anti-doping Education and information, test distribution planning, maintenance of a *Registered Testing Pool*, managing *Athlete* Biological Passports, conducting *Testing*, organizing analysis of *Samples*, gathering of intelligence and conduct of investigations, processing of *TUE* applications, *Results Management*, monitoring and enforcing compliance with any *Consequences* imposed, and all other activities related to anti-doping to be carried out by or on behalf of an *Anti-Doping Organization*, as set out in the *Code* and/or the *International Standards*.

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

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

[Comment to *Athlete*: Individuals who participate in sport may fall in one of five categories: 1) *International-Level Athlete*, 2) *National-Level Athlete*, 3) individuals who are not *International- or National-Level Athletes* but over whom the International Federation or *National Anti-Doping Organization* has chosen to exercise authority, 4) *Recreational Athlete*, and 5) individuals over whom no International Federation or *National Anti-Doping Organization* has, or has chosen to, exercise authority. All *International- and National-Level Athletes* are subject to the anti-doping rules of the *Code*, with the precise definitions of international and national level sport to be set forth in the anti-doping rules of the International Federations and *National Anti-Doping Organizations*.]
**Athlete Biological Passport:** The program and methods of gathering and collating data as described in the *International Standard for Testing and Investigations* and *International Standard for Laboratories*.

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

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

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

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

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

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

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

**Consequences of Anti-Doping Rule Violations (“Consequences”):** An *Athlete’s* or other *Person’s* violation of an anti-doping rule may result in one or more of the following: (a) *Disqualification* means the *Athlete’s* results in a particular *Competition* or *Event* are invalidated, with all resulting *Consequences* including forfeiture of any medals, points and prizes; (b) *Ineligibility* means the *Athlete* or other *Person* is barred on account of an anti-doping rule violation for a specified period of time from participating in any *Competition* or other activity or funding as provided in Article 10.14; (c) *Provisional Suspension* means the *Athlete* or other *Person* is barred temporarily from participating in any *Competition* or activity prior to the final decision at a hearing conducted under Article 8; (d) *Financial Consequences* means a financial sanction imposed for an anti-doping rule violation or to recover costs associated with an anti-doping rule violation; and (e) *Public Disclosure* means the dissemination or distribution of information to the general public or *Persons* beyond those *Persons* entitled to earlier notification in accordance with Article 14. Teams in *Team Sports* may also be subject to *Consequences* as provided in Article 11.
**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.

**Decision Limit:** The value of the result for a threshold substance in a *Sample*, above which an *Adverse Analytical Finding* shall be reported, as defined in the *International Standard for Laboratories*.

**Delegated Third Party:** Any *Person* to which an *Anti-Doping Organization* delegates any aspect of *Doping Control* or anti-doping Education programs including, but not limited to, third parties or other *Anti-Doping Organizations* that conduct *Sample* collection or other *Doping Control* services or anti-doping Educational programs for the *Anti-Doping Organization*, or individuals serving as independent contractors who perform *Doping Control* services for the *Anti-Doping Organization* (e.g., non-employee *Doping Control* officers or chaperones). This definition does not include CAS.

**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 and the enforcement of *Consequences*, including all steps and processes in between, including but not limited to, *Testing*, investigations, whereabouts, *TUEs*, *Sample* collection and handling, laboratory analysis, *Results Management*, and investigations or proceedings relating to violations of Article 10.14 (*Status During Ineligibility or Provisional Suspension*).

**Education:** The process of learning to instill values and develop behaviors that foster and protect the spirit of sport, and to prevent intentional and unintentional doping.

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

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

**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’s* 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 *Protected Person*, 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 behavior. 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 a career, or the timing of the sporting calendar, would not be relevant factors to be considered in reducing the period of Ineligibility under Article 10.6.1 or 10.6.2.

[Comment to Fault: The criteria for assessing an Athlete’s degree of Fault is the same under all Articles where Fault is to be considered. However, under Article 10.6.2, no reduction of sanction is appropriate unless, when the degree of Fault is assessed, the conclusion is that No Significant Fault or Negligence on the part of the Athlete or other Person was involved.]

Financial Consequences: See Consequences of Anti-Doping Rule Violations above.

In-Competition: The period commencing at 11:59 p.m. on the day before a Competition in which the Athlete is scheduled to participate through the end of such Competition and the Sample collection process related to such Competition. Provided, however, WADA may approve, for a particular sport, an alternative definition if an International Federation provides a compelling justification that a different definition is necessary for its sport; upon such approval by WADA, the alternative definition shall be followed by all Major Event Organizations for that particular sport.

[Comment to In-Competition: Having a universally accepted definition for In-Competition provides greater harmonization among Athletes across all sports, eliminates or reduces confusion among Athletes about the relevant timeframe for In-Competition Testing, avoids inadvertent Adverse Analytical Findings in between Competitions during an Event and assists in preventing any potential performance enhancement benefits from substances prohibited Out-of-Competition being carried over to the Competition period.]

Independent Observer Program: A team of observers and/or auditors, under the supervision of WADA, who observe and provide guidance on the Doping Control process prior to or during certain Events and report on their observations as part of WADA’s compliance monitoring program.

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

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

Institutional Independence: Hearing panels on appeal shall be fully independent institutionally from the Anti-Doping Organization responsible for Results Management. They must therefore not in any way be administered by, connected or subject to the Anti-Doping Organization responsible for Results Management.

International Event: An Event or Competition where the International Olympic Committee, the International Paralympic Committee, an International Federation, a Major Event Organization, or another international sport organization is the ruling body for the Event or appoints the technical officials for the Event.
**International-Level Athlete:** Athletes who compete in sport at the international level, as defined by each International Federation, consistent with the *International Standard for Testing and Investigations*.

[Comment to International-Level Athlete: Consistent with the *International Standard for Testing and Investigations*, the International Federation is free to determine the criteria it will use to classify Athletes as International-Level Athletes, e.g., by ranking, by participation in particular International Events, by type of license, etc. However, it must publish those criteria in clear and concise form, so that Athletes are able to ascertain quickly and easily when they will become classified as International-Level Athletes. For example, if the criteria include participation in certain International Events, then the International Federation must publish a list of those International Events.]

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

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

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

**Minimum Reporting Level:** The estimated concentration of a Prohibited Substance or its Metabolite(s) or Marker(s) in a Sample below which WADA-accredited laboratories should not report that Sample as an Adverse Analytical Finding.

**Minor:** A natural Person who has not reached the age of eighteen (18) years.

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

**National Event:** A sport Event or Competition involving International- or National-Level Athletes that is not an International Event.
**National Federation:** A national or regional entity in the United States which is a member of or is recognized by an International Federation as the entity governing the International Federation’s sport in that nation or region in the United States. National Governing Bodies and High Performance Management Organizations are National Federations.

**National-Level Athlete:** Athletes who compete in sport at the national level, as defined by each National Anti-Doping Organization, consistent with the International Standard for Testing and Investigations. In the United States, National-Level Athlete is defined in the USADA TUE Policy.

**National Olympic Committee:** The organization recognized by the International Olympic Committee. The term National Olympic Committee shall also include the National Sport Confederation in those countries where the National Sport Confederation assumes typical National Olympic Committee responsibilities in the anti-doping area. In the United States, the National Olympic Committee is the USOPC.

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

**No Significant Fault or Negligence:** The Athlete or other Person's establishing that any 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 Protected Person or Recreational Athlete, for any violation of Article 2.1, the Athlete must also establish how the Prohibited Substance entered the Athlete's system.

**Operational Independence:** This means that (1) board members, staff members, commission members, consultants and officials of the Anti-Doping Organization with responsibility for Results Management or its affiliates (e.g., member federation or confederation), as well as any Person involved in the investigation and pre-adjudication of the matter cannot be appointed as members and/or clerks (to the extent that such clerk is involved in the deliberation process and/or drafting of any decision) of hearing panels of that Anti-Doping Organization with responsibility for Results Management and (2) hearing panels shall be in a position to conduct the hearing and decision-making process without interference from the Anti-Doping Organization or any third party. The objective is to ensure that members of the hearing panel or individuals otherwise involved in the decision of the hearing panel, are not involved in the investigation of, or decisions to proceed with, the case.
Out-of-Competition: Any period which is not In-Competition.

Participant: Any Athlete or Athlete Support Person.

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

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

[Comment to Possession: Under this definition, anabolic steroids found in an Athlete’s car would constitute a violation unless the Athlete establishes that someone else used the car; in that event, the Anti-Doping Organization must establish that, even though the Athlete did not have exclusive control over the car, the Athlete knew about the anabolic steroids and intended to have control over them. Similarly, in the example of anabolic steroids found in a home medicine cabinet under the joint control of an Athlete and spouse, the Anti-Doping Organization must establish that the Athlete knew the anabolic steroids were in the cabinet and that the Athlete intended to exercise control over them. The act of purchasing a Prohibited Substance alone constitutes Possession, even where, for example, the product does not arrive, is received by someone else, or is sent to a third-party address.]

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

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

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

Protected Person: An Athlete or other natural Person who at the time of the anti-doping rule violation: (i) has not reached the age of sixteen (16) years; (ii) has not reached the age of eighteen (18) years and is not included in any Registered Testing Pool and has never competed in any International Event in an open category; or (iii) for reasons other than age has been determined to lack legal capacity under applicable national legislation.
Comment to Protected Person: The Code treats Protected Persons differently than other Athletes or Persons in certain circumstances based on the understanding that, below a certain age or intellectual capacity, an Athlete or other Person may not possess the mental capacity to understand and appreciate the prohibitions against conduct contained in the Code. This would include, for example, a Paralympic Athlete with a documented lack of legal capacity due to an intellectual impairment. The term “open category” is meant to exclude competition that is limited to junior or age group categories.

Provisional Hearing: For purposes of Article 7.4.3, an expedited abbreviated hearing occurring prior to a hearing under Article 8 that provides the Athlete with notice and an opportunity to be heard in either written or oral form.

Comment to Provisional Hearing: A Provisional Hearing is only a preliminary proceeding which may not involve a full review of the facts of the case. Following a Provisional Hearing, the Athlete remains entitled to a subsequent full hearing on the merits of the case. By contrast, an “expedited hearing”, as that term is used in Article 7.4.3, is a full hearing on the merits conducted on an expedited time schedule.

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

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

Recreational Athlete: A natural Person who is so defined by the relevant National Anti-Doping Organization; provided, however, the term shall not include any Person who, within the five years prior to committing any anti-doping rule violation, has been an International-Level Athlete (as defined by each International Federation consistent with the International Standard for Testing and Investigations) or National-Level Athlete (as defined by each National Anti-Doping Organization consistent with the International Standard for Testing and Investigations), has represented any country in an International Event in an open category or has been included within any Registered Testing Pool or other whereabouts information pool maintained by any International Federation or National Anti-Doping Organization. In the United States, Recreational Athlete is defined in the USADA TUE Policy.

Comment to Recreational Athlete: The term “open category” is meant to exclude competition that is limited to junior or age group categories.

Regional Anti-Doping Organization: A regional entity designated by member countries to coordinate and manage delegated areas of their national anti-doping programs, which may include the adoption and implementation of anti-doping rules, the planning and collection of Samples, the management of results, the review of TUEs, the conduct of hearings, and the conduct of Educational programs at a regional level.
**Registered Testing Pool:** The pool of highest-priority Athletes established separately at the international level by International Federations and at the national level by National Anti-Doping Organizations, who are subject to focused In-Competition and Out-of-Competition Testing as part of that International Federation’s or National Anti-Doping Organization’s test distribution plan and therefore are required to provide whereabouts information as provided in Article 5.5 and the International Standard for Testing and Investigations.

**Results Management:** The process encompassing the timeframe between notification as per Article 5 of the International Standard for Results Management, or in certain cases (e.g., Atypical Finding, Athlete Biological Passport, whereabouts failure), such pre-notification steps expressly provided for in Article 5 of the International Standard for Results Management, through the charge until the final resolution of the matter, including the end of the hearing process at first instance or on appeal (if an appeal was lodged).

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

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

**Signatories:** Those entities accepting the Code and agreeing to implement the Code, as provided in Article 23.

**Specified Method:** See Article 4.2.2.

**Specified Substance:** See Article 4.2.2.

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

**Substance of Abuse:** See Article 4.2.3.

**Substantial Assistance:** For purposes of Article 10.7.1, a Person providing Substantial Assistance must: (1) fully disclose in a signed written statement or recorded interview all information he or she possesses in relation to anti-doping rule violations or other proceeding described in Article 10.7.1.1, and (2) fully cooperate with the investigation and adjudication of any case or matter related to that information, including, for example, presenting testimony at a hearing if requested to do so by an Anti-Doping Organization or hearing panel. Further, the information provided must be credible and must comprise an important part of any case or proceeding which is initiated or, if no case or proceeding is initiated, must have provided a sufficient basis on which a case or proceeding could have been brought.
**Tampering:** Intentional 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, offering or accepting a bribe to perform or fail to perform an act, preventing the collection of a Sample, affecting or making impossible the analysis of a Sample, falsifying documents submitted to an Anti-Doping Organization or TUE committee or hearing panel, procuring false testimony from witnesses, committing any other fraudulent act upon the Anti-Doping Organization or hearing body to affect Results Management or the imposition of Consequences, and any other similar intentional interference or Attempted interference with any aspect of Doping Control.

[Comment to Tampering: For example, this Article would prohibit altering identification numbers on a Doping Control form during Testing, breaking the B bottle at the time of B Sample analysis, altering a Sample by the addition of a foreign substance, or intimidating or attempting to intimidate a potential witness or a witness who has provided testimony or information in the Doping Control process. Tampering includes misconduct which occurs during the Results Management process. See Article 10.9.3.3. However, actions taken as part of a Person's legitimate defense to an anti-doping rule violation charge shall not be considered Tampering. Offensive conduct towards a Doping Control official or other Person involved in Doping Control which does not otherwise constitute Tampering shall be addressed in the disciplinary rules of sport organizations.]

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

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

**Technical Document:** A document adopted and published by WADA from time to time containing mandatory technical requirements on specific anti-doping topics as set forth in an International Standard.

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

**Therapeutic Use Exemption (TUE):** A Therapeutic Use Exemption allows an Athlete with a medical condition to Use a Prohibited Substance or Prohibited Method, but only if the conditions set out in Article 4.4 and the International Standard for Therapeutic Use Exemptions are met.

**Trafficking:** Selling, giving, transporting, sending, delivering or distributing (or Possessing for any such purpose) a Prohibited Substance or Prohibited Method (either physically or by any electronic or other means) by an Athlete, Athlete Support Person or any other Person subject to the authority of an Anti-Doping Organization to any third party; provided, however, this definition shall not include the actions of bona fide medical personnel involving a Prohibited Substance Used for genuine and legal
therapeutic purposes or other acceptable justification, and shall not include actions involving *Prohibited Substances* which are not prohibited in *Out-of-Competition Testing* unless the circumstances as a whole demonstrate such *Prohibited Substances* are not intended for genuine and legal therapeutic purposes or are intended to enhance sport performance.

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

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

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

**Without Prejudice Agreement:** For purposes of Articles 10.7.1.1 and 10.8.2, a written agreement between an *Anti-Doping Organization* and an *Athlete* or other *Person* that allows the *Athlete* or other *Person* to provide information to the *Anti-Doping Organization* in a defined time-limited setting with the understanding that, if an agreement for *Substantial Assistance* or a case resolution agreement is not finalized, the information provided by the *Athlete* or other *Person* in this particular setting may not be used by the *Anti-Doping Organization* against the *Athlete* or other *Person* in any *Results Management* proceeding under the *Code*, and that the information provided by the *Anti-Doping Organization* in this particular setting may not be used by the *Athlete* or other *Person* against the *Anti-Doping Organization* in any *Results Management* proceeding under the *Code*. Such an agreement shall not preclude the *Anti-Doping Organization, Athlete* or other *Person* from using any information or evidence gathered from any source other than during the specific time-limited setting described in the agreement.
ANNEX B

Abbreviated A Sample Laboratory Documentation Package

The following documents will accompany the initial notification to the Athlete of an Adverse Analytical Finding A Sample analysis:

• A standard notice setting forth the review procedures, Athlete’s rights, and contact information for the USOPC Athlete Ombuds (including name, telephone number, email address and website URL).

• Notification of the Prohibited Substance(s) and/or Prohibited Method(s) at issue which could result in an anti-doping rule violation. In instances of a Threshold Substance where an exogenous or endogenous Prohibited Substance, Metabolite or Marker of a Prohibited Substance for which the identification and quantitative determination (e.g., concentration, ratio, score) in excess of a pre-determined Decision Limit, or, when applicable, the establishment of an exogenous origin, constitutes an Adverse Analytical Finding, that Decision Limit will be provided. When possible, the degree to which the Athlete’s or other Person’s Sample exceeds the Decision Limit will be reported.

• An abbreviated analytical report to the A Sample confirmation analysis. The abbreviated data should include applicable analytical confirmation technique (e.g., gas chromatography/mass spectrometric) graphical data for negative control, a positive control (including quantitative data where relevant), and the Athlete’s or other Person’s Sample. The purpose of this data is to allow the Athlete or other Person or their representative to determine a course of action. It is understood that due to time constraints involved, there is typically less time to review and organize this data prior to transmittal than with the documentation package to accompany the B Sample which will also address documents related to the A Sample analysis.

• A cover page summarizing, in plain English, the following data: (1) the Sample collection date; (2) the name of the substance or method reported as an Adverse Analytical Finding; and (3) quantification information as follows: (a) for Threshold Substances, a quantitative determination of the concentration, ratio or score relative to a Decision Limit; (b) for GC/C/IRMS, a comment indicating that the GC/C/IRMS finding is consistent with the exogenous administration, specifying the identity of the relevant TC(s) that produced a positive GC/C/IRMS finding; (c) for non-threshold substances, an estimated concentration provided by the laboratory if available. Note that for non-threshold substances the reported presence of any quantity of the Prohibited Substance is an Adverse Analytical Finding, except in specific cases of Atypical Findings reported by a WADA-accredited laboratory.

1 Should there be an inconsistency between the Abbreviated A Sample Laboratory Documentation Package and the official Laboratory Documentation Package, the official Laboratory Documentation Package prepared in accordance with the Technical Document for Laboratory Documentation Packages shall prevail.

2 As per the requirements for reporting Threshold Substances in the WADA Technical Document for Decision Limits or other applicable Technical Documents.

3 As per the requirements set forth in the WADA Technical Document for IRMS or other applicable Technical Documents.
ANNEX C

Procedures for the Arbitration of Olympic & Paralympic Sport Doping Disputes

Amended and effective as of January 1, 2021

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R-47. Arbitrator’s Compensation

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R-49. Interpretation and Application of Rules
R-1. Applicability

The standard commercial arbitration rules of the independent arbitral body (the Arbitral Body), as modified by these Procedures for the Arbitration of Olympic & Paralympic Sport Doping Disputes (Arbitration Procedures) shall apply to arbitrations, which arise out of the United States Anti-Doping Agency (USADA) Protocol. To the extent that there is any variance between the Arbitral Body’s standard commercial arbitration rules and the Arbitration Procedures, the Arbitration Procedures shall control. These procedures may be altered by a written agreement signed by both parties to the arbitration for purposes of that arbitration only.

R-2. Delegation of Duties

Cases arising out of the USADA Protocol shall be administered by the Arbitral Body approved by the USOPC, USOPC Athletes’ Advisory Council (AAC), and USADA subject to these Arbitration Procedures and any additional terms or guidelines agreed upon between the Arbitral Body, USADA and the USOPC.¹

R-3. Pool of Arbitrators and Training

The pool of arbitrators for cases arising out of the USADA Protocol shall consist of no more than eight members agreed upon by the USOPC, AAC, and USADA (the Arbitrator Pool).² Any reference to arbitrator in these rules shall also refer to an arbitration panel consisting of three arbitrators, if applicable. All arbitrators in the Arbitrator Pool shall receive training at least once every three years from the Arbitral Body. The training materials shall be approved by the USOPC, AAC, and USADA and updated at least every three years.

The arbitrators in the Arbitrator Pool shall be appointed for six-year terms. Candidates to serve as an arbitrator shall complete an application approved by the USOPC, AAC and USADA which shall, at a minimum, include a resume identifying all prior positions held by the candidate and copies of all publicly issued arbitration awards and/or judicial opinions issued by the candidate in the preceding five years.

There shall be no absolute requirement that an arbitrator candidate be a member of any arbitral body or association of arbitrators prior to appointment. Candidates shall not be an officer, director, trustee, employee, commission member, consultant or official or be in a policy making position for USADA or

¹ Until an Arbitral Body is agreed upon in accordance with R-2, the current administrator, the American Arbitration Association, will continue to administer arbitrations under these Arbitration Procedures. The selection of the Arbitral Body under this Rule, the pool of arbitrators and the training referred to in R-3 will be based on a specific set of criteria, selection, and evaluation procedures first agreed on by USADA, AAC, and the USOPC.

² Until at least five arbitrators are agreed upon in accordance with R-3, the Arbitral Body’s arbitrator pool will be used.
any sports organization, e.g., the USOPC or an NGB. The Arbitral Body shall, if necessary, accept the candidate as a member on its roll of arbitrators, if necessary, upon appointment.

Candidates shall commit in writing to accept appointment to all cases to which they are selected except for when they have been involved in the pre-adjudication of the matter or for conflicts of interest or personal hardship and shall agree to not decline appointment for personal hardship in more than two cases in any 12-month period. A candidate shall be required to submit to a background check before appointment and not have previously committed an anti-doping rule violation or committed a U.S. Center for SafeSport violation. A candidate shall complete U.S. Center for SafeSport training before appointment and keep current with the training throughout the appointment term.

In the event an arbitrator dies, resigns, becomes incapacitated during the arbitrator’s term, or is removed for a serious ethical breach, a new arbitrator shall be appointed for a full six-year term, following the procedures set forth above. Incapacity of an arbitrator is determined by 2/3 vote of the arbitrator’s fellow arbitrators based on information establishing that the arbitrator is substantially impaired in performing their duties, which shall not require establishing legal incapacity. An arbitrator may also be removed upon a 2/3 vote of the arbitrator’s fellow arbitrators based upon a serious ethical breach. However, an arbitrator may not be removed based on disagreement with the arbitrator’s prior decision(s).

R·4. Initiation by USADA

Arbitration proceedings shall be initiated by USADA with the Arbitral Body after the Athlete, Athlete Support Person, or other Person requests a hearing in response to being charged with an anti-doping rule violation or other dispute subject to arbitration under the USADA Protocol. The initiation from USADA shall include the type of dispute, whether the Athlete is a Recreational Athlete, National-Level Athlete, or International-Level Athlete, and if the parties have agreed to three arbitrators. The parties to the proceeding shall be USADA and the Athlete, Athlete Support Person, or other Person who requested a hearing. The applicable International Federation and the World Anti-Doping Agency shall be invited to join in the proceeding as a party or as an observer. For their information only, the USOPC, USOPC Athlete Ombuds, and NGB shall receive notice of the hearing. The Athlete, Athlete Support Person, or other Person who is a party to the proceeding shall have the right to invite the Athlete Ombuds as an observer, but under no circumstances may any party or arbitrator compel the Athlete Ombuds to testify as a witness. If the parties agree or the Athlete, Athlete Support Person, or other Person requests and the arbitrator agrees, the hearing shall be open to the public subject to such limitations as may be imposed by the arbitrator.
R-5. Changes of Claim

After filing of a claim, if any party desires to make any new or different claim, it shall be made in writing and filed with the Arbitral Body. The party asserting such a claim shall provide a copy of the new or different claim to the other party or parties. After the arbitrator is appointed, however, no new or different claim may be submitted except with the arbitrator’s consent.

R-6. Applicable Procedures

All cases shall be administered in accordance with Sections R-1 through R-49 of these rules.

At the request of any party, any time period set forth in these procedures may be shortened by the arbitrator where doing so is reasonably necessary to resolve any Athlete’s eligibility before a Protected Competition or other significant Competition, while continuing to protect the right of an Athlete to a fair hearing.

Arbitration shall be expedited according to the procedures in the USADA Protocol, or in such other instances where expediting is in the interest of justice.

If a request to expedite the adjudication process is made based on circumstances that are not addressed in the USADA Protocol and if USADA does not agree to the process being expedited the arbitrator shall determine whether the adjudication process shall be expedited and the schedule pursuant to which the process shall proceed. However, if a request to expedite the adjudication process is made prior to the arbitrator being appointed and the parties have agreed to a three-member panel, the Arbitral Body shall randomly select one arbitrator from the Arbitrator Pool, who shall determine whether the adjudication process shall be expedited and the schedule pursuant to which the process shall proceed. This randomly selected arbitrator shall not sit on the panel.

The Arbitral Body shall immediately notify the Athlete Ombuds and the USOPC General Counsel’s office of any arbitration that may be or has been initiated under these expedited procedures.

R-7. Jurisdiction

a. The arbitrator shall have the power to rule on his or her own jurisdiction, including any objections with respect to the existence, scope or validity of the arbitration agreement.

b. The arbitrator shall have the power to determine the existence or validity of a contract of which an arbitration clause forms a part. Such an arbitration clause shall be treated as an agreement independent of the other terms of the contract. A decision by the arbitrator that the contract is null and void shall not for that reason alone render invalid the arbitration clause.
c. A party must object to the jurisdiction of the arbitrator or to the arbitrability of a claim or counterclaim no later than the filing of the answering statement to the claim or counterclaim that gives rise to the objection. The arbitrator may rule on such objections as a preliminary matter or as part of the final award.

R-8. Location of Hearing

a. All hearings shall take place by telephone or video conference unless the parties and the arbitrator agree to an in-person hearing. Once the parties agree to an in-person hearing, consent to an in-person hearing can only be withdrawn upon mutual agreement of the parties.

b. The situs or situses of the arbitration and location(s) of an in-person hearing (if agreed to by the parties) shall be in the United States at a location(s) determined by the arbitrator and set forth no later than in the first procedural order. The arbitrator shall give preference to the choice of the Athlete, Athlete Support Person, or other Person unless outweighed by the interests of justice.

c. In the event it may be necessary for enforcement of an arbitration subpoena(s) that the arbitrator conduct a hearing at a particular location(s) and there receive live testimony or documents or other evidence, the arbitrator shall at the request of the party who is seeking enforcement of the subpoena travel to that location to conduct the hearing regardless of whether the parties are participating in the arbitration via telephone or video conference.

R-9. Qualifications of an Arbitrator

Any arbitrator appointed pursuant to Section R-10 shall be subject to disqualification for the reasons specified in Section R-12.

R-10. Appointment of the Arbitrator

The arbitrator shall be appointed in the following manner:

a. In every case in which the parties have not agreed to a panel of three arbitrators, immediately after the initiation of a proceeding by USADA (as set forth in R-4), the Arbitral Body shall appoint a single arbitrator on a rotating basis from the Arbitrator Pool, after confirming the arbitrator will not decline appointment due to personal hardship. The arbitrator who handles the Provisional Hearing shall not serve as an arbitrator for the Athlete, Athlete Support Person, or other Person's arbitration concerning the allegation they have committed an anti-doping rule violation.

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3 Until at least five arbitrators are agreed upon in accordance with R-3, the single arbitrator will be selected by each side striking up to one third of the Arbitral Body’s arbitration pool and ranking the remaining names in order of preference. If no list is returned, all names will be deemed acceptable. From among the names approved on each list and in accordance with the designated order of mutual preference, the Arbitral Body will invite the acceptance of an arbitrator to serve.
b. Immediately after the initiation of a proceeding by USADA (as set forth in R-4) for which the parties have agreed to a panel of three arbitrators, those arbitrators shall be appointed on the same rotating basis as a single arbitrator is appointed after confirming the arbitrators’ availability. The chairperson of the panel shall be the first available arbitrator in the rotation.4

c. The Arbitral Body shall communicate to the parties within seven days of initiation by USADA the name of the single arbitrator appointed to hear the matter or within fourteen days of initiation by USADA the names of the three arbitrators appointed to hear the matter.

R-11. Notice to Arbitrator of Appointment

Notice of the appointment of the arbitrator shall be sent to the arbitrator by the Arbitral Body, together with a copy of these Arbitration Procedures, the USADA Protocol, and the Required Billing Standards for Anti-Doping Cases (Billing Standards). The signed acceptance of the arbitrator shall be filed with the Arbitral Body prior to the appointment of the arbitrator but in any event no later than the first preliminary hearing.

R-12. Disclosure and Challenge Procedure

a. Any person appointed as an arbitrator shall disclose to the Arbitral Body any circumstance likely to affect impartiality or independence, including any bias or any financial or personal interest in the result of the arbitration or any past or present relationship with the parties or their representatives.

b. Upon receipt of such information from the arbitrator or another source, the Arbitral Body shall communicate the information to the parties and, if it deems it appropriate to do so, to the arbitrator.

c. Upon objection of a party to the continued service of an arbitrator, the Arbitral Body shall determine whether the arbitrator’s impartiality might reasonably be questioned and the arbitrator should be disqualified. The Arbitral Body shall inform the parties of its decision, which shall be conclusive and not subject to appeal or other challenge.

R-13. Communication with Arbitrator

No party and no one acting on behalf of any party shall communicate unilaterally concerning the arbitration with an arbitrator or a candidate for an arbitrator. All communications concerning the arbitration shall include the other party and a representative from the Arbitral Body.

4 Until at least five arbitrators are agreed upon in accordance with R-3, if the parties agree to a panel of three arbitrators, each party will select an arbitrator from the Arbitral Body’s arbitrator pool and those two arbitrators will select a chairperson from the Arbitral Body’s arbitrator pool.
R-14. Vacancies

a. If for any reason an arbitrator is unable to perform his or her duties in a particular case, the Arbitral Body may, on proof satisfactory to it, declare the office vacant. Vacancies shall be filled on a rotating basis as described in these rules.

b. In the event of a vacancy in a panel of arbitrators, the vacancy shall be filled on a rotating basis as described in these rules, and for the avoidance of doubt, if the chairperson’s position is vacant, the existing member of the arbitration panel who was next in line at the time of the original appointment becomes chairperson.

c. In the event of a vacancy in a panel of arbitrators after the merits hearing has commenced, the remaining arbitrator or arbitrators may continue with the hearing and issue a binding award, unless the parties agree otherwise.

d. In the event of the appointment of a substitute arbitrator, the panel of arbitrators shall determine in its sole discretion whether it is necessary to repeat all or part of any prior hearings.

R-15. Preliminary Hearing

a. At the request of any party or at the discretion of the arbitrator or the Arbitral Body, the arbitrator may schedule as soon as practicable a preliminary hearing with the parties and/or their representatives. The preliminary hearing should be conducted by telephone at the arbitrator’s discretion.

b. During the preliminary hearing, the parties and the arbitrator should discuss the future conduct of the case, including clarification of the issues and claims, dates for the hearing and any other preliminary matters.

R-16. Exchange of Information

a. At the request of any party or at the discretion of the arbitrator, consistent with the expedited nature of arbitration, the arbitrator may direct (i) the production of documents and other information, and (ii) the identification of any witnesses to be called.

b. Unless otherwise agreed by the parties or ordered by the arbitrator, at least five business days prior to the hearing, the parties shall exchange copies of all exhibits they intend to submit at the hearing.

c. The arbitrator is authorized to resolve any disputes concerning the exchange of information.

5 Until five arbitrators are agreed upon in accordance with R-3, a vacancy in a particular case shall be filled in the same manner as the arbitrator was appointed.
R-17. Timing of Hearing

The hearing, including any briefing ordered by the arbitrator, shall be completed within two months of the appointment of the arbitrator except in cases involving extraordinary circumstances, upon good cause shown by a party, in cases of sufficient complexity where completion within two months is not reasonable, or as may otherwise be agreed upon by the parties. These exceptions shall be finally determined by the arbitrator.

R-18. Attendance at Hearings

The arbitrator and the Arbitral Body shall maintain the privacy of the hearings unless the hearing is open to the public as described in R-4 (the Athlete, Athlete Support Person, or other Person charged with an anti-doping rule violation has the right to invite the Athlete Ombuds as an observer regardless). The arbitrator shall otherwise have the power to require the exclusion of any witness, other than a party or other essential person, during the testimony of any other witness. It shall be discretionary with the arbitrator to determine the propriety of the attendance of any other person other than (i) a party and its representatives and (ii) those entities identified in R-4, which may attend the hearing as observers.

R-19. Representation

Any party may be represented by counsel or other authorized representative. A party intending to be so represented shall notify the other party and the Arbitral Body of the name and address of the representative at least three days prior to the date set for the hearing at which that person is first to appear. When such a representative requests an arbitration hearing or responds for a party, notice is deemed to have been given. Parties are bound by the statements made or positions taken by their representatives.

R-20. Oaths

Before proceeding with the first preliminary hearing, each arbitrator may take an oath of office and, if required by law, shall do so. The arbitrator may require witnesses to testify under oath administered by any duly qualified person and, if it is required by law or requested by any party, shall do so.

R-21. Stenographic Record

Any party desiring a stenographic record of all or a portion of the hearing shall make arrangements directly with a stenographer and shall notify the other parties of these arrangements at least seven days in advance of the start of the hearing or as required by the arbitrator. The requesting party or parties shall pay the cost of the transcript they request, whether full or partial. If a party seeks a copy of a transcript, full or partial, requested by another party, then the other party shall pay half the costs of
the transcript to the requesting party. If the entire transcript is requested by the parties jointly, or if all or a portion of the transcript is determined by the arbitrator to be the official record of the proceeding or necessary to the arbitrator’s decision, it must be provided to the arbitrator and made available to the other parties for inspection, at a date, time, and place determined by the arbitrator with the costs of the transcription divided equally between the parties. The arbitrator may award the costs of transcription for a transcript requested by the arbitrator as expenses of the arbitration pursuant to R-46.

R-22. Interpreters

Any party wishing an interpreter shall make all arrangements directly with the interpreter and shall assume the costs of the service.

R-23. Postponements

The arbitrator may postpone any hearing upon agreement of the parties, upon request of a party for good cause shown, or upon the arbitrator’s own initiative.

R-24. Arbitration in the Absence of a Party or Representative

Unless the law provides to the contrary, the arbitration may proceed in the absence of any party or representative who, after due notice, fails to be present or fails to obtain a postponement. An award shall not be made solely on the default of a party. The arbitrator shall require the party who is present to submit such evidence as the arbitrator may require for the making of an award.

R-25. Conduct of Proceedings

a. USADA shall present evidence to support its claim. The Athlete, Athlete Support Person, or other Person charged with an anti-doping rule violation shall then present evidence to support his/her defense. USADA is then entitled to present rebuttal evidence to which the Athlete, Athlete Support Person, or other Person charged may also rebut. Witnesses for each party shall also submit to questions from the arbitrator and the adverse party. The arbitrator has the discretion to vary this procedure, provided that the parties are treated with equality and that each party has the right to be heard and is given a fair opportunity to present its case.

b. The arbitrator, exercising his or her discretion, shall conduct the proceedings with a view to expediting the resolution of the dispute and may direct the order of proof, bifurcate proceedings, and direct the parties to focus their presentations on issues the decision of which could dispose of all or part of the case.

c. In any dispute involving an Athlete Support Person or other Person the costs of the arbitration (including arbitrator fees and expenses but excluding attorneys’ fees) shall from the outset be
split between the Athlete Support Person or other Person and the USOPC. Additional arbitration costs up to and including the full costs of the arbitration may be awarded by the arbitrator based on the seriousness of the offense. In the event an individual charged with a rule violation is considered both an Athlete and an Athlete Support Person, their status for purposes of these rules shall be the status in which capacity they are alleged to have committed the anti-doping rule violation.

d. The parties may agree to waive oral hearings in any case.

R-26. Evidence

a. The parties may offer such evidence as is relevant and material to the dispute and, unless limited by the Code or International Standards, shall produce such evidence as the arbitrator may deem necessary to an understanding and determination of the dispute. Conformity to legal rules of evidence shall not be necessary. All evidence shall be taken in the presence of all of the arbitrators and all of the parties, except as otherwise provided in these Arbitration Procedures.

b. The arbitrator may only retain an expert or seek independent evidence if agreed to by the parties and (i) the parties agree to pay for the cost of such expert or independent evidence or (ii) the USOPC agrees to pay for the cost of such expert or independent evidence. The parties shall have the right to examine any expert retained by the arbitrator and shall have the right to respond to any independent evidence obtained by the arbitrator.

c. The arbitrator shall determine the admissibility, relevance, and materiality of the evidence offered and may exclude evidence deemed by the arbitrator to be cumulative or irrelevant.

d. The arbitrator shall take into account applicable principles of legal privilege, including those involving the confidentiality of communications between a lawyer and client and investigative privilege.

e. An arbitrator or other person authorized by law to subpoena witnesses, documents, or other evidence may do so upon the request of any party or independently.

f. Hearings conducted pursuant to these rules shall incorporate the applicable Articles from the World Anti-Doping Code (Annex A of the USADA Protocol) and be managed consistent with the World Anti-Doping Agency International Standard for Results Management. If the World Anti-Doping Code is silent on an issue, then the USADA Protocol, the USOPC National Anti-Doping Policies, and the International Federation's anti-doping rules shall apply as determined by the arbitrator.
R-27. Evidence by Affidavit and Post-Hearing Filing of Documents or Other Evidence

a. The arbitrator may receive and consider the evidence of witnesses by declaration, affidavit, or transcript but shall give it only such weight as the arbitrator deems it entitled to after consideration of any objection made to its admission.

b. If the parties agree, if any party requests and the arbitrator agrees, or if the arbitrator directs that documents or other evidence be submitted to the arbitrator after the hearing, the documents or other evidence shall be filed with the Arbitral Body for transmission to the arbitrator within 10 days of the conclusion of the hearing. All parties shall be afforded an opportunity to examine and respond to such documents or other evidence.

R-28. Inspection or Investigation

An arbitrator finding it necessary to make an inspection or investigation in connection with the arbitration shall direct the Arbitral Body to so advise the parties. The arbitrator shall set the date and time, and the Arbitral Body shall notify the parties. Any party who so desires may be present at such an inspection or investigation. In the event that one or all parties are not present at the inspection or investigation, the arbitrator shall make an oral or written report to the parties and afford them an opportunity to comment.

R-29. Interim Measures

The arbitrator may take whatever interim measures they deem necessary.

R-30. Closing of Hearing

The arbitrator shall specifically inquire of all parties whether they have any further proofs to offer or witnesses to be heard. The arbitrator shall declare the hearing closed at the conclusion of closing arguments unless a party demonstrates that the record is incomplete and that such additional proof or witness(es) are pertinent and material to the controversy. If briefs are to be filed or a transcript of the hearing produced, the hearing shall be declared closed as of the final date set by the arbitrator for the receipt of briefs or receipt of the transcript. If documents are to be filed as provided in R-27, and the date set for their receipt is later than that set for the receipt of briefs, the later date shall be the closing date of the hearing. The time limit within which the arbitrator is required to make the award shall commence, in the absence of other agreements by the parties, upon the closing of the hearing.
**R-31. Reopening of Hearing**

The hearing may be reopened on the arbitrator’s initiative, or upon application of a party, at any time before the award is made. If reopening the hearing would prevent the making of the award within the specific time required by R-36, the matter may not be reopened unless the parties agree on an extension of time.

**R-32. Waiver of Rules**

Any party who proceeds with the arbitration after knowledge that any provision or requirement of these rules has not been complied with and who fails to state an objection in writing shall be deemed to have waived the right to object.

**R-33. Extensions of Time**

The parties may modify any period of time by mutual agreement. The Arbitral Body or the arbitrator may for good cause extend any period of time established by these rules, except the time for making the award. The Arbitral Body shall notify the parties of any extension.

**R-34. Serving of Notice**

a. Any papers, notices, or process necessary or proper for the initiation or continuation of an arbitration under these rules, for any court action in connection therewith, or for the entry of judgment on any award made under these rules may be served on a party by mail or electronic mail addressed to the party or its representative at the last known address or by personal service in or outside the state where the arbitration is to be held, provided that reasonable opportunity to be heard with regard to the dispute is or has been granted to the party.

b. Unless otherwise instructed by the Arbitral Body or by the arbitrator, any documents submitted by any party to the Arbitral Body or to the arbitrator shall simultaneously be provided to the other party or parties to the arbitration.

**R-35. Majority Decision**

When the panel consists of more than one arbitrator, a majority of the arbitrators must make all decisions.

**R-36. Time of Award**

The award shall be made promptly by the arbitrator and, unless otherwise agreed by the parties or specified by law, no later than thirty days from the date of closing the hearing, or, if no oral hearing, from the date of the final statements and proofs submitted to the arbitrator.
R-37. Form of Award
Any award shall be in writing and signed by a majority of the arbitrators. It shall be executed in the manner required by law. In all cases, the arbitrator shall render a reasoned award.

R-38. Scope of Award
a. The arbitrator may grant any remedy or relief that the arbitrator deems just and equitable and within the scope of the World Anti-Doping Code, International Federation Rules, the USADA Protocol or the USOPC National Anti-Doping Policy as applicable.

b. In addition to a final award, the arbitrator may make other decisions, including interim, interlocutory, or partial rulings, orders, and awards.

R-39. Award Upon Settlement
If the parties settle their dispute during the course of the arbitration and if the parties so request, the arbitrator may set forth the terms of the settlement in a “consent award.”

R-40. Delivery of Award to Parties
Parties shall accept as notice and delivery of the award the placing of the award or a true copy thereof in the mail addressed to the parties or their representatives at the last known addresses, personal or electronic service of the award, or the filing of the award in any other manner that is permitted by law.

The Arbitral Body shall also provide a copy of the award (preferably in electronic form) to the appropriate National Governing Body, the USOPC General Counsel’s office and the Athlete Ombuds.

The award is public and shall not be considered confidential.

R-41. Modification of Award
Within seven days after the transmittal of an award, any party, upon notice to the other parties, may request the arbitrator, through the Arbitral Body, to correct any clerical, typographical, or computational errors in the award. The arbitrator is not empowered to redetermine the merits of any claim already decided. The other parties shall be given five days to respond to the request. The arbitrator shall dispose of the request within five days after transmittal by the Arbitral Body to the arbitrator of the request and any response thereeto.
R-42. Release of Documents for Judicial Proceedings

The Arbitral Body shall, upon the written request of a party, furnish to the party, at the party's expense, certified copies of any papers in the Arbitral Body's possession that may be required in judicial proceedings relating to the arbitration. If the matter is appealed to CAS, the Arbitral Body shall furnish copies of documents required in connection with that proceeding.

R-43. Appeal Rights

The arbitration award may be appealed exclusively to CAS as provided in the USADA Protocol. Notice of appeal shall be filed with the Administrator within the time period provided in the CAS appellate rules. Appeals to CAS filed under these rules shall be heard in the United States. The decisions of CAS shall be final and binding on all parties and shall not be subject to any further review or appeal except as permitted under Swiss Law to challenge the decision before the Swiss Federal Tribunal.

R-44. Applications to Court and Exclusion of Liability

a. No judicial proceeding by a party relating to the subject matter of the arbitration shall be deemed a waiver of the party's right to arbitrate.

b. Neither the Arbitral Body nor any arbitrator in a proceeding under these rules is a necessary party in judicial proceedings relating to the arbitration.

c. Parties to an arbitration under these rules shall be deemed to have consented that judgment upon the arbitration award may be entered in any federal or state court having jurisdiction.

d. Neither the Arbitral Body nor any arbitrator shall be liable to any party for any act or omission in connection with any arbitration conducted under these rules.

R-45. Administrative Fees

The Arbitral Body shall prescribe filing and other administrative fees and service charges to compensate it for the cost of providing administrative services. The fees in effect when the fee or charge is incurred shall be applicable. The filing fee and any other administrative fee or charge shall be paid by the USOPC subject to the cost-shifting provision in R-25c.

R-46. Expenses

The expenses of witnesses for any party shall be paid by the party producing such witnesses. All other expenses of the arbitrator, including required travel and other reasonable and customary expenses of the arbitrator shall be paid by the USOPC subject to the cost-shifting provision in R-25c and in accordance with the Billing Standards. Each party shall bear their own attorneys' fees and other expenses. The expenses associated with an expert retained by an arbitrator or independent evidence sought by an arbitrator shall be paid for as provided in R-26b.
R-47. Arbitrator’s Compensation

a. Arbitrators shall be compensated at a rate consistent with the current CAS rates.

b. If there is disagreement concerning the terms of compensation, the disagreement shall be resolved as described in the Billing Standards.

c. Any arrangement for the compensation of an arbitrator shall be made through the Arbitral Body and not directly between the parties and the arbitrator.

d. Subject to the cost-shifting provision set forth in R-25c, arbitrator fees shall be paid by the USOPC or by USADA as agreed to by the USOPC and USADA.

R-48. Payment of Fees, Expenses and Compensation for Citizens of a Country Other than USA or Which the USOPC Otherwise Declines to Pay

Notwithstanding R-45, R-46 and R-47, if the Athlete, Athlete Support Person, or other Person charged with an anti-doping rule violation is a citizen of a country other than the USA or if the Athlete, Athlete Support Person, or other Person charged participates in a sport not governed by the USOPC or an organization which is a member of the USOPC, then the authority requesting that USADA prosecute the anti-doping rule violation shall pay for the arbitration fees, expenses, and arbitrator’s compensation associated with the arbitration. The Arbitral Body may require such authority to deposit in advance of any hearings such sums of money as it deems necessary to cover the expense of the arbitration, including the arbitrator’s fee. If such payments are not made, the Arbitral Body may order the suspension or termination of the proceeding.

R-49. Interpretation and Application of Rules

The arbitrator shall interpret and apply these rules insofar as they relate to the arbitrator’s powers and duties. When there is more than one arbitrator and a difference arises among them concerning the meaning or application of these rules, it shall be decided by a majority vote. If that is not possible, either an arbitrator or a party may refer the question to the Arbitral Body for final decision. All other rules shall be interpreted and applied by the Arbitral Body.
ANNEX D

USADA-Led Non-Analytical Investigations Principles

- Undertake vigorous investigation of potential rule violations. Code Arts. 5.7, 7.2, 20.5.7; ISTI Arts. 12.2; USADA Protocol Secs. 2, 4, 6; ISRM Annexes A and B.

- Investigation takes place whenever there is a reasonable cause to suspect that an anti-doping rule violation may have been committed. Code Art. 20.5.7; ISTI Art. 12.2.1; USADA Protocol Sec. 2.

- The goal of each investigation is reliable evidence. Code Art. 3.2; ISTI Arts. 11.3.1, 12.2.2.

- Each investigation is conducted fairly, objectively, and impartially. ISTI Art. 12.3.3. Integrity is an important principle in USADA investigations. For example, USADA is always truthful with witnesses and respondents and does not claim to have incriminating evidence that it does not have. USADA will never harass or intimidate witnesses or respondents in the course of its work with athletes. USADA goes into each investigation with an open mind and simply follows the facts. It is only after it becomes apparent that an anti-doping rule violation has occurred that USADA starts to build a case. USADA’s strict conflict of interest policy also applies to its investigations. USADA will not attempt to persuade other organizations to withhold rights or property from an athlete unless such an action is permitted by the rules of that organization.

- All persons interviewed by USADA during the course of an investigation will be treated with dignity and respect.

- All reasonably available investigative resources may be used to conduct investigations. ISTI Art. 12.2.3; USADA Protocol Sec. 2. The Code does not allow USADA to exercise “prosecutorial discretion” and decide to take no action in cases where the evidence indicates that an anti-doping rule violation has occurred. USADA can, however, prioritize the use of its resources. Our highest-priority investigations are those that: a) relate to athletes or other persons who would otherwise represent the United States at the Olympic Games, Paralympic Games, Pan American Games, Parapan American Games or World Championships; b) have the potential to involve doping by multiple athletes through the involvement of athlete support personnel; or c) potentially involve the use of prohibited substances or prohibited methods that are more difficult to detect through the analysis of urine or blood samples.

- Athlete and Athlete Support Personnel Cooperation. Code Article 21 requires all athletes and athlete support personnel to cooperate with USADA investigations into anti-doping rule violations. In particular, USADA has found that the cooperation of clean athletes is crucial to maintaining a level playing field in their sport. Code Art. 21; ISTI Art 12.2.4; USADA Protocol Sec. 5(b)(iii).
• Each investigation protects and upholds the established rights of athletes, athlete support personnel and other persons set forth in the Code, USADA Protocol, ISTI and ISPPPI. Prior to initiating an interview with a U.S. athlete as to whom USADA has and/or expresses any specific suspicion committed an anti-doping rule violation, USADA will advise the athlete: that USADA is investigating potential anti-doping rule violations, which is a serious matter; that USADA’s Investigation Principles and Athlete Interview Responsibilities govern the interview and all interactions with USADA, providing URLs for both documents on USADA’s website; and that the U.S. Olympic & Paralympic Committee (“USOPC”) Athlete Ombuds is available as a resource if the athlete has questions. The applicability of these Principles to USADA investigations and the opportunity for athletes to contact the USOPC Athlete Ombuds will be made clear in USADA’s educational materials for athletes. USADA may, in its discretion, provide the same advice where no specific suspicion exists.

• Each investigation is conducted independently of outside operational control. Code Art. 20.5.1.

• Discussions regarding substantial assistance and sanctions with potential witnesses follow the requirements set forth in Article 10.7.1 of the Code and Articles 5.1.2.1, 5.3.2.1, 7.1 and 9.2.1 of the ISRM.

• USADA cooperates with and seeks the cooperation of government agencies as provided in the Code. Code Arts. 20.5.3 and 22.2.

• Each investigation will also follow all applicable state and federal laws.

• A USADA decision to assert an anti-doping rule violation based on non-analytical evidence is subject to the hearing and appeal process set out in the Code and USADA Protocol. Any decision by USADA not to bring a case forward as a result of an investigation or to impose a sanction on an athlete or other person is always reviewable by both WADA and the relevant International Federation. Code Art. 13.2.3; USADA Protocol Sec. 15(c). If WADA believes that USADA has taken too long to render a decision in a particular investigation, WADA may elect to appeal directly to the Court of Arbitration for Sport (CAS) as if USADA had rendered a decision finding no anti-doping rule violation. Code Art. 13.3.

• Anti-doping rule violation decisions arising out of USADA Olympic Movement investigations are also ultimately subject to review on the merits through established legal processes including an independent arbitration process and a CAS appeal process. Code Arts. 8, 13; USADA Protocol Sec. 17.

• Any claim that USADA has failed to follow these Principles shall be addressed as a contract issue between USADA and the USOPC and shall not be admissible or used as a defense in any anti-doping rule violation proceedings.
USADA-Initiated U.S. Athlete Interview Rights & Responsibilities

U.S. Athletes shall have the following rights and obligations in connection with all USADA matters which are subject to the USADA Protocol for Olympic and Paralympic Movement Testing.

1. An athlete may consult with the U.S. Olympic & Paralympic Committee (“USOPC”) Athlete Ombuds, counsel and/or other representatives before participating in an interview with USADA. The USOPC Athlete Ombuds, currently Kacie Wallace, is completely independent of USADA and available to offer cost-free, confidential, and independent advice regarding anti-doping policies and procedures. The Athlete Ombudsman may be reached by telephone at 719-866-5000, by email at ombudsman@usathlete.org or through the website www.usathlete.org.

2. An athlete may have counsel, or another person who is not an athlete support person (or an athlete support person reasonably acceptable to USADA) present during the USADA interview.

3. An athlete may request that the interview be recorded or transcribed at the athlete's expense. USADA also has the right to record or transcribe the interview at its expense.

4. An athlete is not required to travel to meet USADA for an interview. Should an athlete choose not to travel to the interview, it may be conducted by telephone, video conference, or, at USADA’s option, USADA will travel to the location of the athlete for an in-person interview.

5. Any athlete who USADA seeks to interview is required to cooperate and be truthful with USADA. (Code Art. 21.1.6; ISTI 12.2.4)

6. An athlete’s failure to cooperate or participate in a requested interview may result in disciplinary action under the rules of an International Federation, Major Event Organization, or other Anti-Doping Organization. A failure to be truthful may result in a tampering or attempted tampering anti-doping rule violation. (Code Arts. 2.5 and 21.1.6; ISTI 12.2.4)

7. Failure to cooperate in a USADA investigation or failure to appear if requested to give hearing testimony may be used against an athlete in an anti-doping rule violation hearing. (Code Art. 3.2.5)

8. Where an athlete has committed an anti-doping rule violation, the period of ineligibility otherwise applicable for that violation may be reduced if the athlete: comes forward and admits the violation to USADA before receiving notice of a sample collection which could establish an anti-doping rule violation or other notice (Code Art. 10.7.2), promptly admits the violation after being notified of the violation by USADA (Code Arts. 10.8.1 and 10.8.2), or provides substantial assistance to USADA as recognized in Code Article 10.71.