UCI REGULATIONS FOR TESTING AND INVESTIGATIONS

(“UCI TIR”)

Version entering into force on 1 January 2021
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January 2021
PART ONE: INTRODUCTION, SCOPE, UCI ANTI-DOPING RULES AND REGULATIONS PROVISIONS AND DEFINITIONS

1.0 Introduction and Scope

The UCI Testing and Investigations Regulations (UCI TIR) implement the provisions in the WADA International Standard for Testing and Investigations and supplement the UCI Anti-Doping Rules (UCI ADR).

The first purpose of the UCI Testing and Investigations Regulations is to plan for intelligent and effective Testing, both In-Competition and Out-of-Competition, and to maintain the integrity and identity of the Samples collected from the point the Rider is notified of his/her selection for Testing, to the point the Samples are delivered to the Laboratory for analysis. To that end, the UCI Testing and Investigations Regulations (including its Annexes) establishes mandatory standards for test distribution planning (including collection and use of Rider whereabouts information), notification of Riders, preparing for and conducting Sample collection, security/post-test administration of Samples and documentation, and transport of Samples to Laboratories for analysis.

The second purpose of the UCI Testing and Investigations Regulations is to establish mandatory standards for the efficient and effective gathering, assessment and use of anti-doping intelligence and for the efficient and effective conduct of investigations into possible anti-doping rule violations.

The UCI Testing and Investigations Regulations will be supported by Technical Documents, produced by WADA, to provide enhanced details to assist the UCI in fulfilling their duties under the World Anti-Doping Program. Technical Documents are mandatory.

Any steps and processes of the Doping Control under the UCI Testing and Investigations Regulations may be delegated by the UCI to a Delegated Third Party.

Terms used in the UCI Testing and Investigations Regulations that are defined terms from the UCI ADR are italicized. Terms that are defined in the UCI Testing and Investigations Regulations or another UCI Regulations are underlined.

2.0 UCI ADR Provisions

The following articles in the UCI Anti-Doping Rules are directly relevant to the UCI Testing and Investigations Regulations; they can be obtained by referring to the UCI ADR itself:

- Article 2 Anti-Doping Rule Violations
- Article 5 Testing and Investigations
- Article 6 Analysis of Samples
- Article 8 Results Management: Notice of Charge, Agreement, Failure to Challenge and Hearing Process
- Article 10 Sanctions on Individuals
• Article 12  Sanctions by the UCI Against Other Sporting Bodies
• Article 13  Results Management: Appeals
• Article 14  Confidentiality and Reporting
• Article 20  Additional Roles and Responsibilities of Signatories and WADA
• Article 21  Additional Roles and Responsibilities of Riders and Other Persons
• Article 23  Acceptance and Implementation

3.0  Definitions and Interpretation

3.1  Defined terms from the UCI Anti-Doping Rules that are used in the UCI Testing and Investigations Regulations

**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.

**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 or the UCI Regulations.

**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 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 and applicable UCI Regulations.

**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* or *UCI Regulations*.

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

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

**Competition:** A single race organized separately (for example: each of the time trial and road race at the road World Championships; a stage in a stage race; a Cross-country Eliminator heat) or a series of races forming an organizational unit and producing a final winner and/or general classification (for example: a track sprint race tournament, a cyclo-ball tournament).

**Consequences of Anti-Doping Rule Violations (“Consequences”):** A Rider’s or other Person’s violation of an anti-doping rule may result in one or more of the following: (a) *Disqualification* means the Rider’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 Rider 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 *UCI ADR*; (c) *Provisional Suspension* means the Rider 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 *UCI ADR*; (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 *UCI ADR*. *Teams* may also be subject to Consequences as provided in Article 11 *UCI ADR*.

**Decision Limit:** The value of the result for a Threshold Substance in *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 the *UCI* 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 *UCI*, or individuals serving as independent contractors who perform *Doping Control* services for the *UCI* (e.g., non-employee *Doping Control* officers or chaperones). This definition does not include CAS.

**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*, investigation, whereabouts, *TUEs*, Sample collection and handling, laboratory analysis, Results Management, hearings and appeals, 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 single *Competition* organized separately (for example: a one day road race) or a series of *Competitions* conducted together as a single organization (for example: road World Championships; a road stage race, a track World Cup *Event*); a reference to *Event* includes reference to *Competition*, unless the context indicates otherwise.

**Event Venues:** At *UCI International Events*, the area where the *Event* is taking place as well as the accommodations where the *Riders* participating in such *Event* are staying.

**In-Competition:** *The Event Period*. However, for the purpose of the *Prohibited List*, *In-Competition* is the period commencing at 11:59 p.m. on the day before a *Competition* in which the *Rider* is scheduled to participate through the end of such *Competition* and the *Sample* collection process related to such *Competition*.

[Comment to *In-Competition*: Having a universally accepted definition for *In-Competition* provides greater harmonization among *Riders* across all sports, eliminates or reduces confusion among *Riders* 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.

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

**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*.

For the purpose of Article 5.3 *UCI ADR* exclusively, *International Events* are *Events* for which the *UCI* has *Testing* responsibility and are referred to as “*UCI International Events*”. *UCI International Events* are defined annually by the *UCI*. The list of such *UCI International Events* is communicated to the relevant *Anti-Doping Organizations* before the start of the season and whenever required.

**International-Level Rider:** *Riders* who compete in sport at the international level, as defined in the Introduction of these *Anti-Doping Rules*.

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

**Marker:** A compound, group of compounds or biological variable(s) that indicates the *Use* of a *Prohibited Substance* or *Prohibited Method*. 
**Minor:** A natural *Person* who has not reached the age of eighteen 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.

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

**National-Level Rider:** Riders 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*.

**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.

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

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

**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:** A *Rider* 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 Riders or Persons in certain circumstances based on the understanding that, below a certain age or intellectual capacity, a Rider 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 Suspension:** See *Consequences of Anti-Doping Rule Violations* above.
Recreational Rider: A natural Person who is so defined by the relevant National Anti-Doping Organization; provided, however, the term shall not include any Person who is or was contracted to a UCI registered Team at the time of the anti-doping rule violation or within the five (5) years prior to committing any anti-doping rule violation, has been an International-Level Rider (as defined by each International Federation consistent with the International Standard for Testing and Investigations) or National-Level Rider (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.

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

Registered Testing Pool: The pool of highest-priority Rider 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 UCI ADR 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).

Rider: Any Person subject to these Anti-Doping Rules who competes in the sport of cycling 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 a Rider who is neither an International-Level Rider nor a National-Level Rider, and thus to bring them within the definition of “Rider”. In relation to Riders who are neither International-Level nor National-Level Riders, an Anti-Doping Organization may elect to: conduct limited Testing or no Testing at all; analyze Samples for less than the full menu of Prohibited Substances; require limited or no whereabouts information; or not require advance TUEs. However, if an Article 2.1, 2.3 or 2.5 UCI ADR anti-doping rule violation is committed by any Rider 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 UCI ADR 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 a Rider.

[Comment to Rider: Individuals who participate in sport may fall in one of five categories: 1) International-Level Rider, 2) National-Level Rider, 3) individuals who are not International- or National-Level Riders but over whom the International Federation or National Anti-Doping Organization has chosen to exercise authority, 4) Recreational Rider, 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 Riders 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.]

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

**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.

**Substantial Assistance:** For purposes of Article 10.7.1 UCI ADR, 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 UCI ADR, 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 Riders for Testing based on criteria set forth in the UCI Testing and Investigations Regulations.

**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.

**Testing Pool**: The tier below the Registered Testing Pool which includes Riders from whom some whereabouts information is required in order to locate and Test the Rider Out-of-Competition.

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

### 3.2 Defined terms from the International Standard for Laboratories:

**Adaptive Model**: A mathematical model designed to identify unusual longitudinal results from Riders. The model calculates the probability of a longitudinal profile of Marker values, assuming that the Rider has a normal physiological condition.

**Analytical Testing**: The parts of the Doping Control process performed at the Laboratory, which include Sample handling, analysis and reporting of results.

**Athlete Passport Management Unit (APMU)**: A unit composed of a Person or Persons that is responsible for the timely management of Athlete Biological Passports in ADAMS on behalf of the Passport Custodian.

**Confirmation Procedure (CP)**: An Analytical Testing Procedure that has the purpose of confirming the presence and/or, when applicable, confirming the concentration/ratio/score and/or establishing the origin (exogenous or endogenous) of one or more specific Prohibited Substances, Metabolite(s) of a Prohibited Substance, or Marker(s) of the Use of a Prohibited Substance or Prohibited Method in a Sample.

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

**WADA-Approved Laboratory(-ies) for the Athlete Biological Passport**: Laboratory(-ies) not otherwise accredited by WADA which apply Analytical Methods and processes in support of the hematological module of the ABP program and in accordance with the criteria for approval of non-accredited laboratories for the ABP.
3.3 Defined terms from the UCI Results Management Regulations:

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

**Filing Failure:** A failure by the Rider (or by a third party to whom the Rider has delegated the task) to make an accurate and complete Whereabouts Filing that enables the Rider to be located for Testing at the times and locations set out in the Whereabouts Filing or to update that Whereabouts Filing where necessary to ensure that it remains accurate and complete, all in accordance with Article 4.8 of the UCI Testing and Investigations Regulations and Annex B of the UCI Results Management Regulations.

**Missed Test:** A failure by the Rider to be available for Testing at the location and time specified in the 60-minute time slot identified in their Whereabouts Filing for the day in question, in accordance with Article 4.8 of the UCI Testing and Investigations Regulations and Annex B of the UCI Results Management Regulations.

**Passport:** A collation of all relevant data unique to an individual Rider that may include longitudinal profiles of Markers, heterogeneous factors unique to that particular Rider and other relevant information that may help in the evaluation of Markers.

**Passport Custodian:** The Anti-Doping Organization responsible for Results Management of that Rider’s Passport and for sharing any relevant information associated to that Rider’s Passport with other Anti-Doping Organization(s).

**Results Management Authority:** The Anti-Doping Organization responsible for conducting Results Management in a given case.

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

3.4 Defined terms from the International Standard for the Protection of Privacy and Personal Information:

**Processing** (and its cognates, Process and Processed): Collecting, accessing, retaining, storing, disclosing, transferring, transmitting, amending, deleting or otherwise making use of Personal Information.

3.5 Defined terms specific to UCI Testing and Investigations Regulations:

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

**Chain of Custody:** The sequence of individuals or organizations who have responsibility for the custody of a Sample from the provision of the Sample until the Sample has been delivered to the Laboratory for analysis.
Chaperone: An official who is suitably trained and authorized by the Sample Collection Authority to carry out specific duties including one or more of the following (at the election of the Sample Collection Authority); notification of the Rider selected for Sample collection; accompanying and observing the Rider until arrival at the Doping Control Station; accompanying and/or observing Riders who are present in the Doping Control Station; and/or witnessing and verifying the provision of the Sample where the training specifically qualifies them to do so.

UCI ADR Article 2.4 Whereabouts Requirements: The whereabouts requirements set out in Article 4.8, which apply to Riders who are included in the UCI Registered Testing Pool.

Doping Control Coordinator: An Anti-Doping Organization or a Delegated Third Party that coordinates any aspect of Doping Control on behalf of the Anti-Doping Organization. The Anti-Doping Organization always remains ultimately responsible under the UCI ADR for compliance with the requirements of the International Standard for Testing and Investigations, Therapeutic Use Exemptions, Protection of Privacy and Personal Information, and Results Management.

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

Doping Control Station: The location where the Sample Collection Session will be conducted in accordance with Article 6.3.2.

Expert: The Expert(s) and/or Expert Panel, with knowledge in the concerned field, chosen by the UCI and/or Athlete Passport Management Unit, who are responsible for providing an evaluation of the Passport. The Expert must be external to the UCI.

For the Haematological Module, the Expert Panel should consist of at least three (3) Experts who have qualifications in one or more of the fields of clinical and laboratory haematology, sports medicine or exercise physiology, as they apply to blood doping. For the Steroidal Module, the Expert Panel should be composed of at least three (3) individuals with qualifications in the fields of laboratory steroid analysis, steroid doping and metabolism and/or clinical endocrinology. For both modules, an Expert Panel may include a pool of at least three (3) appointed Experts and any additional ad hoc Expert(s) who may be required upon request of any of the appointed Experts or by the Athlete Passport Management Unit of the UCI.

List for notification purposes: List of Riders selected for Doping Controls in the scope of Post-Finish Testing, published according to Article 5.3.9.

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

Post-Finish Testing: Event Testing organized following a Competition or Event for the purpose of Testing Riders that participated in the Competition or Event.

Random Selection: Selection of Riders for Testing which is not Target Testing.
**Risk Assessment**: The assessment of risk of doping in a sport or sports discipline conducted by the UCI in accordance with Article 4.2.

**Sample Collection Authority**: The organization that is responsible for the collection of Samples in compliance with the requirements of the UCI Testing and Investigations Regulations, whether (1) the Testing Authority itself; or (2) a Delegated Third Party to whom the authority to conduct Testing has been granted or sub-contracted. The Testing Authority always remains ultimately responsible under the UCI ADR for compliance with the requirements of the UCI Testing and Investigations Regulations relating to collection of Samples.

**Sample Collection Equipment**: A and B bottles, kits or containers, collection vessels, tubes or other apparatus used to collect, hold or store the Sample at any time during and after the Sample Collection Session that shall meet the requirements of Article 6.3.4.

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

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

**Suitable Specific Gravity for Analysis**: For Samples with a minimum volume of 90mL and less than 150mL, specific gravity measured at 1.005 or higher with a refractometer, or 1.010 or higher with lab sticks. For Samples with a volume of 150mL and above, specific gravity measured at 1.003 or higher with a refractometer only.

**Suitable Volume of Urine for Analysis**: A minimum of 90 mL, whether the Laboratory will be analyzing the Sample for all or only some Prohibited Substances or Prohibited Methods.

**Tamper Evident**: Refers to having one or more indicators or barriers to entry incorporated into or, if applicable, included with the Sample Collection Equipment, which, if breached or missing or otherwise compromised, can provide visible evidence that Tampering or Attempted Tampering of Sample Collection Equipment has occurred.

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

**Technical Document for Sport Specific Analysis (TDSSA)**: The Technical Document which establishes minimum levels of analysis that Anti-Doping Organizations must apply to sports and sport disciplines for certain Prohibited Substances and/or Prohibited Methods, which are most likely to be abused in particular sports and sport disciplines.

**Test(s)**: Any combination of Sample(s) collected (and analyzed) from a single Rider in a single Sample Collection Session.

**Test Distribution Plan**: A document written by the UCI that plans Testing on Riders, in accordance with the requirements of Article 4.
**Testing Authority**: The Anti-Doping Organization that authorizes Testing on Riders it has authority over. It may authorize a Delegated Third Party to conduct Testing pursuant to the authority of and in accordance with the rules of the Anti-Doping Organization. Such authorization shall be documented. The Anti-Doping Organization authorizing Testing remains the Testing Authority and ultimately responsible under the UCI ADR to ensure the Delegated Third Party conducting the Testing does so in compliance with the requirements of the UCI Testing and Investigations Regulations.

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

**Whereabouts Filing**: Information provided by or on behalf of a Rider in a Registered Testing Pool (or Testing pool if applicable) that sets out the Rider’s whereabouts during the following quarter, in accordance with Article 4.8.

### 3.6 Interpretation:

3.6.1 The official text of the UCI Testing and Investigations Regulations shall be published in English and French. In the event of any conflict between the English and French versions, the English version shall prevail.

3.6.2 Like the UCI ADR, the UCI Testing and Investigations Regulations have been drafted giving consideration to the principles of proportionality, human rights, and other applicable legal principles. It shall be interpreted and applied in that light.

3.6.3 The comments annotating various provisions of the UCI Testing and Investigations Regulations shall be used to guide its interpretation.

3.6.4 Unless otherwise specified, references to Sections and Articles are references to Sections and Articles of the UCI Testing and Investigations Regulations.

3.6.5 Where the term “days” is used in the UCI Testing and Investigations Regulations, it shall mean calendar days unless otherwise specified.

3.6.6 The Annexes to the UCI Testing and Investigations Regulations have the same mandatory status as the rest of the UCI Testing and Investigations Regulations.
PART TWO: STANDARDS FOR TESTING

4.0 Planning Effective Testing

4.1 Objective

4.1.1 The UCI shall plan and implement intelligent Testing on Riders over whom it has authority which is proportionate to the risk of doping, and that is effective to detect and to deter such practices. The objective of Article 4 is to set out the steps that are necessary to develop a Risk Assessment and produce a Test Distribution Plan that satisfies this requirement.

4.1.2 The UCI shall ensure that Rider Support Personnel and any other Persons with a conflict of interest are not involved in test distribution planning for their Riders or in the process of selection of Riders for Testing.

4.1.3 The UCI shall document its Risk Assessment and Test Distribution Plan and shall provide that Risk Assessment and Test Distribution Plan to WADA where requested. The UCI must be able to demonstrate to WADA’s satisfaction that it has made a proper assessment of the relevant risks and has developed and/or implemented an appropriate Test Distribution Plan based on the results of that assessment.

4.1.4 The UCI shall monitor, evaluate and update its Risk Assessment and Test Distribution Plan during the year/cycle in light of changing circumstances and implementing the Test Distribution Plan.

4.2 Risk Assessment

4.2.1 The starting point of the Test Distribution Plan shall be a considered Risk Assessment, conducted in good faith. This assessment shall take into account (at a minimum) the following information:

a) The physical and other demands of the sport of cycling (and/or its disciplines), considering in particular the physiological requirements of the sport of cycling / its disciplines;

b) Which Prohibited Substances and/or Prohibited Methods a Rider would consider most likely to enhance performance in the sport of cycling / cycling disciplines;

c) The rewards and/or potential incentives for doping available at the different levels of the sport of cycling / its disciplines and for the nations participating in the sport / its disciplines;

d) The history of doping in the sport of cycling / cycling disciplines, nation(s) and/or Event;

[Comment to 4.2.1 (d): Unless there has been an effective Testing program in a sport, encompassing both In-Competition and Out-of-Competition Testing, a history of no or few Adverse Analytical Findings says little, if anything, about the risk of doping in that sport.]
e) Available statistics and research on doping trends (e.g., anti-doping Testing figures and anti-doping rule violation reports published by WADA; peer-reviewed articles);

f) Information received/intelligence developed on possible doping practices in the sport (e.g., Laboratory and APMU recommendations; Sample Collection Personnel reports; Rider testimony; information from criminal investigations; and/or other information received/intelligence developed in accordance with WADA’s Guidelines for Information Gathering and Intelligence Sharing) in accordance with Article 11;

g) The outcomes of previous test distribution planning cycles including past Testing strategies;

h) At what points during a Rider’s career in the sport of cycling/cycling disciplines a Rider would be most likely to benefit from Prohibited Substances and/or Prohibited Methods; and

i) Given the structure of the season for the sport of cycling/cycling disciplines in question (including standard Competition schedules and training patterns), at what time(s) during the year/cycle a Rider would be most likely to benefit from Prohibited Substances and/or Prohibited Methods.

4.2.2 In developing its Test Distribution Plan, the UCI shall consider in good faith any Risk Assessment for the sport or discipline in question carried out by another Anti-Doping Organization with overlapping Testing Authority. However, the UCI is not bound by a National Anti-Doping Organization’s assessment of the risks of doping in a particular sport or discipline, and a National Anti-Doping Organization is not bound by the UCI’s assessment of the risks of doping in the sport of cycling or its discipline.

4.2.3 Test distribution planning is an ongoing process, not a static one. The UCI shall review the Test Distribution Plan regularly during the year/cycle and shall adapt it as necessary to reflect new information gathered and intelligence developed by the UCI, and to take into account Testing conducted by other Anti-Doping Organizations.

4.2.4 In developing its Test Distribution Plan, the UCI shall incorporate the requirements of the TDSSA.

4.3 Defining International-Level and National-Level Riders

4.3.1 In recognition of the finite resources of Anti-Doping Organizations, the UCI ADR definition of Rider allows the UCI to focus its anti-doping programs (including Testing) on those who compete regularly at the international level (i.e., International-Level Riders, as defined in the UCI ADR. On the other hand, National Anti-Doping Organizations are allowed to limit the number of sportsmen and sportswomen who will be subject to their national anti-doping programs (in particular, Testing) to those who compete at the highest national levels (i.e., National-Level Riders, as defined by the National Anti-Doping Organization).
[Comment to 4.3.1: Nothing prevents the UCI from Testing a Rider under its authority who is not an International-Level Rider, if it sees fit, e.g., where they are competing in an International Event. Furthermore, as set out in the UCI ADR definition of Rider, a National Anti-Doping Organization may decide to extend its anti-doping program (including Testing) to sportsmen and sportswomen who compete below national level. However, the main focus of the UCI's Test Distribution Plan should be International-Level Riders, and the main focus of a National Anti-Doping Organization's Test Distribution Plan should be National-Level Riders and above.]

4.3.2 Therefore, once the Risk Assessment and the Test Distribution Plan described in Article 4.2 are completed, the next step is to determine the overall pool of Riders who are in principle going to be subject to Testing by the UCI, fixing an appropriate definition of International-Level Rider.

The UCI is free to determine the criteria it will use to classify Riders as International-Level Riders, e.g., by ranking, by participation in particular International Events, etc. It should make that determination in good faith, in accordance with its responsibility to protect the integrity of the sport at the international level (the showcase of the sport to the public), by fixing a definition that shall, at a minimum (and in accordance with the Risk Assessment undertaken in connection with the sport of cycling/its discipline), include those Riders who compete regularly at an international level and/or who compete at a standard at which world records may be set.

4.4 Prioritizing between sports and/or disciplines

4.4.1 Next, the UCI shall consider whether there are any factors warranting allocating Testing resources to one discipline or nation (as applicable) in priority to others. This means having assessed the relative risks of doping:

a) allocating Testing between the different disciplines and nations within cycling based on a calendar of Events.

b) Another factor relevant to the allocation of Testing resources within the Test Distribution Plan will be the number of Riders involved at the relevant level in the sport of cycling and/or its disciplines and/or nation(s) in question. Where the risk of doping is assessed to be equal between two different disciplines or nations, more resources should be devoted to the discipline or nation involving the larger number of Riders.

4.5 Prioritizing between different Riders

4.5.1 Once the International-Level Riders have been defined (see Article 4.3), and the priority disciplines/nations have been established (see Article 4.4), an intelligent Test Distribution Plan uses Target Testing to focus Testing resources where they are most needed within the overall pool of Riders. Target Testing shall therefore be made a priority, i.e., a significant amount of the Testing undertaken as part of the UCI's Test Distribution Plan shall be Target Testing of Riders within its overall pool.

[Comment to 4.5.1: Target Testing is a priority because random Testing, or even weighted random Testing, does not ensure that all of the appropriate Riders will be tested enough. The UCI ADR does not impose any reasonable suspicion or probable cause requirement for Target Testing. However,
Target Testing should not be used for any purpose other than legitimate Doping Control.]

4.5.2 The UCI shall consider conducting Target Testing on the following categories of Riders:

a) Riders (especially from its priority disciplines or nations) who compete regularly at the highest level of international Competition (e.g., candidates for Olympic, Paralympic or World Championship medals), as determined by rankings or other suitable criteria;

b) Riders serving a period of Ineligibility or a Provisional Suspension; and

c) Riders who were high priority for Testing before they retired from the sport and who now wish to return from retirement to active participation in the sport.

[Comment to 4.5.2: Coordination between the International Federations, National Anti-Doping Organizations and other Anti-Doping Organizations shall occur in accordance with Article 4.9.]

4.5.3 Other individual factors relevant to determining which Riders shall be the subject of Target Testing shall also be considered by the UCI. Relevant factors may include (but are not limited to):

a) Prior anti-doping rule violations, Test history, including any abnormal biological parameters (blood parameters, steroid profiles, as recommended by an APMU, etc.);

b) Sport performance history, performance pattern, and/or high performance without a commensurate Test record;

c) Repeated failure to meet whereabouts requirements;

d) Suspicious Whereabouts Filing patterns (e.g., last-minute updates of Whereabouts Filings);

e) Moving to or training in a remote location;

f) Withdrawal or absence from expected Competition(s);

g) Association with a third party (such as a team-mate, coach or doctor) with a history of involvement in doping;

h) Injury;

i) Age/stage of career (e.g., move from junior to senior level, nearing end of contract, approaching retirement);

j) Financial incentives for improved performance, such as prize money or sponsorship opportunities; and/or

k) Reliable information from a third party, or intelligence developed by or shared with the UCI in accordance with Article 11.
4.5.4 Testing which is not Target Testing shall be determined by Random Selection and should be conducted in accordance with the selection options in the Guidelines for Implementing an Effective Testing Program. Random Selection shall be conducted using a documented system for such selection. Random Selection may be either weighted (where Riders are ranked using pre-determined criteria in order to increase or decrease the chances of selection) or completely random (where no pre-determined criteria are considered, and Riders are chosen arbitrarily from a list or pool of Rider names). Random Selection that is weighted shall be prioritized and be conducted according to defined criteria which may take into account the factors listed in Article 4.5.3 (as applicable) in order to ensure that a greater percentage of ‘at risk’ Riders are selected.

[Comment to 4.5.4: In addition to Target Testing, Testing by Random Selection can play an important deterrent role, as well as helping to protect the integrity of an Event.]

4.5.5 For the avoidance of doubt, notwithstanding the development of criteria for selection of Riders for Testing, and in particular for Target Testing of Riders, as well as the fact that as a general rule Testing shall take place between 6 a.m. and 11 p.m. unless (i) the Rider stipulates a 60-minute timeslot from 5 a.m. or, (ii) valid grounds exist for Testing overnight (i.e., between 11 p.m. and 6 a.m.), the fundamental principle remains (as set out in Article 5.2 of the UCI ADR) that a Rider may be required to provide a Sample at any time and at any place by any Anti-Doping Organization with authority to conduct Testing, whether or not the selection of the Rider for Testing is in accordance with such criteria. Accordingly, a Rider may not refuse to submit to Sample collection on the basis that such Testing is not provided for in the UCI’s Test Distribution Plan and/or is not being conducted between 6 a.m. and 11 p.m., and/or that the Rider does not meet the relevant selection criteria for Testing or otherwise should not have been selected for Testing.

4.6 Prioritizing between different types of Testing and Samples

4.6.1 Based on the Risk Assessment and prioritization process described in Articles 4.2 to 4.5, the UCI must determine to what extent each of the following types of Testing is required in order to detect and deter doping practices within the relevant sport(s), discipline(s) and/or nation(s), intelligently and effectively:

a) In-Competition Testing and Out-of-Competition Testing;

b) Testing of urine;

c) Testing of blood; and

d) Testing involving longitudinal profiling, i.e., the Athlete Biological Passport program.

4.7 Sample analysis, retention strategy and further analysis

4.7.1 The UCI shall ask Laboratories to analyze Samples for the standard analysis menu based on whether the Sample was collected In-Competition or Out-of-Competition. The UCI may also consider undertaking more extensive Sample analysis for Prohibited
Substances or Prohibited Methods beyond those contained (or the levels required) within the TDSSA based on the risk of the sport/discipline/country or any intelligence that the UCI may receive.

4.7.2 The UCI may apply to WADA for flexibility in the implementation of the minimum levels of analysis specified for Prohibited Substances or Prohibited Methods as outlined in the TDSSA.

4.7.3 The UCI shall develop a written strategy for retention of Samples and the documentation relating to the collection of such Samples so as to enable the further analysis of such Samples at a later date in accordance with Articles 6.5 and 6.6 of the UCI ADR. Such strategy shall comply with the requirements of the International Standard for Laboratories and the International Standard for the Protection of Privacy and Personal Information, and shall take into account the purposes of analysis of Samples set out in Article 6.2 of the UCI ADR, as well as (without limitation) the following elements:

a) Laboratory and APMU recommendations;

b) The possible need for retroactive analysis in connection with the Athlete Biological Passport program;

c) New detection methods to be introduced in the future relevant to the Rider and/or discipline;

d) Samples collected from Riders meeting some or all of the criteria set out at Article 4.5;

e) Any other information made available to the UCI justifying long-term storage or further analysis of Samples at the UCI’s discretion.

4.8 Collecting whereabouts information

4.8.1 Whereabouts information is not an end in itself, but rather a means to an end, namely the efficient and effective conduct of No Advance Notice Testing. Therefore, where the UCI has determined that it needs to conduct Testing (including Out-of-Competition Testing) on particular Riders, it shall then consider how much information it needs about the whereabouts of those Riders in order to conduct that Testing effectively and with no advance notice. The UCI must collect all of the whereabouts information that it needs to conduct the Testing identified in its Test Distribution Plan effectively and efficiently. In addition, the amount of whereabouts information requested shall be proportional to the whereabouts pool and the amount of times the UCI intends to test the Rider.

4.8.2 In accordance with Articles 5.5 and 14.6 of the UCI ADR, the UCI may collect whereabouts information and shall use ADAMS to conduct effective Doping Control. As a result, such information shall be automatically available through ADAMS to WADA and other relevant Anti-Doping Organizations with overlapping Testing Authority. This information shall:

a) Be maintained in strict confidence at all times;
b) Be used for purposes of planning, coordinating or conducting Doping Control;

c) Be relevant to the Athlete Biological Passport or other analytical results;

d) Support an investigation into a potential anti-doping rule violation; and/or

e) Support proceedings alleging an anti-doping rule violation.

4.8.3 Where the UCI has determined that it needs to conduct Out-of-Competition Testing on particular Riders following its Risk Assessment (in accordance with Article 4.2) and the prioritization steps (in Articles 4.3 to 4.7), it shall then consider how much whereabouts information it needs for those Riders in order to conduct No Advance Notice Testing effectively.

4.8.4 The UCI has adopted a ‘pyramid’ or ‘tiered approach’, placing Riders into different whereabouts pools, referred to as the Registered Testing Pool, Testing Pool and other pool(s), depending upon how much whereabouts information it needs to conduct the amount of Testing allocated to those Riders in the Test Distribution Plan.

In accordance with the foregoing, four different tiers are established:

Tier 1: Riders included in the UCI Registered Testing Pool (RTP) and therefore required to provide full whereabouts information;

Tier 2: Riders included in the UCI Testing Pool (TP) and therefore required to provide limited whereabouts information;

Tier 3: Riders included in the UCI General Pool (GP) and whose whereabouts information is therefore limited to that collected from their Team;

Tier 4: Riders who are not required to provide whereabouts information.

4.8.5 The UCI shall be able to demonstrate to WADA that they have conducted an appropriate risk-based approach in allocating Riders to their whereabouts pool(s) and have allocated sufficient Out-of-Competition Tests in their Test Distribution Plan as required in Articles 4.8.6.1 and 4.8.10.1.

4.8.6 UCI Registered Testing Pool

4.8.6.1 The top tier is the UCI Registered Testing Pool and includes Riders that are subject to the greatest amount of Testing and are therefore required to provide whereabouts in accordance with Article 4.8.6.2. Riders in the Registered Testing Pool shall be subject to Article 2.4 of the UCI ADR Whereabouts Requirements.

The UCI shall consider the following criteria for including Riders into a Registered Testing Pool:

a) Riders who meet the criteria listed in Articles 4.5.2 and 4.5.3;

b) Riders whom the UCI plans to Test at least three (3) times per year Out-
of-Competition (either independently or in agreed coordination with other Anti-Doping Organizations with Testing Authority over the same Riders);

c) Riders that are part of the UCI's Athlete Biological Passport haematological module program as required by the TDSSA;

d) Riders in the UCI Testing pool who fail to comply with the applicable whereabouts requirements of that pool;

e) Riders for whom there is insufficient whereabouts information available for the UCI or National Anti-Doping Organization to locate them for that Testing from other sources; and

f) Riders who are serving a period of Ineligibility.

[Comment to 4.8.6.1: Following consideration of points a) to f) above and once the Riders in the Registered Testing Pool are determined, the UCI or the National Anti-Doping Organization shall plan, independently or in agreed coordination with other Anti-Doping Organizations, to test any Rider included in the Registered Testing Pool a minimum of three (3) times Out-of-Competition per year.]

4.8.6.2 A Rider who is in the UCI Registered Testing Pool shall:

a) Make quarterly Whereabouts Filings that provide accurate and complete information about the Rider's whereabouts during the forthcoming quarter, including identifying where they will be living, training and competing during that quarter, and to update those Whereabouts Filings where necessary, so that they can be located for Testing during that quarter at the times and locations specified in the relevant Whereabouts Filing, as specified in Article 4.8.8. A failure to do so may be declared a Filing Failure; and

b) Specify in their Whereabouts Filings, for each day in the forthcoming quarter, one specific 60-minute time slot where they will be available at a specific location for Testing, as specified in Article 4.8.8.3. This does not limit in any way the Rider's UCI ADR Article 5.2 obligation to submit to Testing at any time and place upon request by an Anti-Doping Organization with authority to conduct Testing on them. Nor does it limit their obligation to provide the information specified in Article 4.8.8.2 as to their whereabouts outside that 60-minute time slot. However, if the Rider is not available for Testing at such location during the 60-minute time slot specified for that day in their Whereabouts Filing, that failure may be declared a Missed Test.

[Comment to 4.8.6.2(b): The purpose of the 60-minute time slot is to strike a balance between the need to locate the Rider for Testing and the impracticality and unfairness of making Riders potentially accountable for a Missed Test every time they depart from their previously-declared routine.]
4.8.6.3 Anti-Doping Organizations with authority to conduct Testing on a Rider in a Registered Testing Pool shall conduct Out-of-Competition Testing on that Rider using the Rider's Whereabouts Filing. Although UCI ADR Article 2.4 Whereabouts Requirements include the provision of a 60-minute time slot, Testing shall not be limited to the 60-minute time slot provided by the Rider. To ensure Out-of-Competition Testing is unpredictable to the Rider, Anti-Doping Organizations shall also consider other whereabouts information provided e.g., regular activities to test the Rider.

4.8.6.4 The UCI or National Anti-Doping Organization that maintains a Registered Testing Pool shall use ADAMS to ensure that:

a) The information provided by the Rider is stored safely and securely;

b) The information can be accessed by (i) authorized individuals acting on behalf of the UCI or National Anti-Doping Organization (as applicable) on a need-to-know basis only; (ii) WADA; and (iii) other Anti-Doping Organizations with authority to conduct Testing on the Rider in accordance with UCI ADR Article 5.2; and

c) The information is maintained in strict confidence at all times, is used exclusively for the purposes set out in UCI ADR Article 5.5 and is destroyed in accordance with the International Standard for the Protection of Privacy and Personal Information once it is no longer relevant.

4.8.6.5 Riders under the Testing Authority of a National Anti-Doping Organization and UCI should only be in one Registered Testing Pool and therefore shall only file one set of whereabouts information. If the Rider is included in the UCI Registered Testing Pool and in the National Anti-Doping Organization's national Registered Testing Pool (or in the Registered Testing Pool of more than one National Anti-Doping Organization or more than one International Federation), then each of them shall notify the Rider that they are in its pool. Prior to doing so, however, they shall agree between themselves to whom the Rider shall provide their Whereabouts Filings, and that Anti-Doping Organization shall be the whereabouts custodian. Each notice sent to the Rider shall specify that they shall provide their Whereabouts Filings to that Anti-Doping Organization only (and it will then share that information with the other, and with any other Anti-Doping Organizations having authority to conduct Testing on that Rider).

[Comment to 4.8.6.5: If the UCI and the respective Anti-Doping Organizations cannot agree between themselves on which of them will take responsibility for collecting the Rider's whereabouts information, and for making it available to the other Anti-Doping Organizations with authority to test the Rider, then they should each explain in writing to WADA how they believe the matter should be resolved, and WADA will decide based on the best interests of the Rider. WADA's decision will be final and may not be appealed.]
4.8.7 Entering and leaving the *UCI Registered Testing Pool*

4.8.7.1 The *UCI* shall notify each *Rider* designated for inclusion in the *UCI Registered Testing Pool* of the following:

a) The fact that they have been included in the *UCI Registered Testing Pool* with effect from a specified date in the future;

b) The whereabouts requirements with which they shall therefore comply;

c) The *Consequences* if they fail to comply with those whereabouts’ requirements; and

d) That they may also be tested by other *Anti-Doping Organizations* with authority to conduct *Testing*.

[Comment to 4.8.7.1: This notification may be made through the National Federation or National Olympic Committee where the *UCI* considers it appropriate or expedient to do so and ordinarily shall be made reasonably in advance of the *Rider* being included in the *UCI Registered Testing Pool*. The notice shall also explain what the *Rider* needs to do in order to comply with the *UCI ADR Article 2.4* Whereabouts Requirements (or refer them to a website or other resource where they can find out that information). *Riders* included in the *UCI Registered Testing Pool* shall be informed and should be educated so that they understand the whereabouts requirements that they must satisfy, how the whereabouts system works, the consequences of *Filing Failures* and *Missed Tests*, and their right to contest *Filing Failures* and *Missed Tests* that have been asserted against them.

Anti-Doping Organizations should also be proactive in helping *Riders* avoid *Filing Failures*. For example, many Anti-Doping Organizations systematically remind *Riders* in their Registered Testing Pool of quarterly deadlines for *Whereabouts Filings*, and then follow up with those *Riders* who have still not made the necessary filing as the deadline approaches. However, *Riders* remain fully responsible for complying with the filing requirements, irrespective of whether or not the Anti-Doping Organization has provided them with such support.]

4.8.7.2 A *Rider* who no longer meets the criteria for inclusion in the *UCI Registered Testing Pool* shall be removed from the *UCI Registered Testing Pool*.

[Comment to 4.8.7.2: The applicable rules may also require that notice of retirement be sent to the *Rider’s* National Federation. Where a *Rider* retires from but then returns to sport, their period of non-availability for Out-of-Competition Testing shall be disregarded for purposes of calculating the 12-month period referred to in *UCI ADR Article 2.4*.]

4.8.7.3 A *Rider* who has been included in the *UCI Registered Testing Pool* shall continue to be subject to the *UCI ADR Article 2.4 Whereabouts Requirements* unless and until:

a) They have been given written notice by the *UCI* that they are no longer designated for inclusion in the *UCI Registered Testing Pool*; or

b) They give written notice of their retirement to the *UCI*. 
[Comment: For avoidance of doubt, removal of a Rider from the UCI’s RTP in accordance with Article 4.8.7.3 has no bearing on the Rider’s inclusion in any other National Anti-Doping Organisation or other International Federation RTP. Same applies if Rider is excluded from another Anti-Doping Organization’s RTP and not from the UCI’s. The Rider remains bound by such inclusion(s) as per such Anti-Doping Organisation’s rules and instructions.]

Retirement is effective once the UCI has received the Rider’s written notice of his/her retirement.]

4.8.8 Whereabouts Filing Requirements

4.8.8.1 The UCI shall review Riders Whereabouts Filings to ensure they are submitted in accordance with Articles 4.8.8.2 and 4.8.8.3.

4.8.8.2 Riders in the UCI Registered Testing Pool shall file, by the 15th of the month preceding the quarter (i.e. 15 December, 15 March, 15 June, 15 September), a Whereabouts Filing that contains at least the following information:

[Comment to 4.8.8.2: To facilitate planning and readiness for Testing on the first day of the quarter (as countenanced in Article 4.8.8.2), Anti-Doping Organizations may require that whereabouts information is submitted on a date which is the 15th of the month preceding the quarter. However, no consequences for a failure to submit prior to the first day of the quarter shall apply.]

a) A complete mailing address and personal e-mail address where correspondence may be sent to the Rider for formal notice purposes. Any notice or other item mailed to that address will be deemed to have been received by the Rider seven (7) days after it was deposited in the mail and immediately when notification of a sent e-mail receipt is generated/obtained (subject to applicable law);

b) A designated phone number that the UCI may use;

c) Specific confirmation that the Rider understands that their Whereabouts Filing will be shared with other Anti-Doping Organizations that have authority to conduct Testing on them;

d) For each day during the following quarter, the full address of the place where the Rider will be staying overnight (e.g., home, temporary lodgings, hotel, etc.);

e) For each day during the following quarter, the name and address of each location where the Rider will train, work or conduct any other regular activity (e.g., school), as well as the usual time frames for such regular activities;

[Comment to 4.8.8.2 (e): This requirement applies only to activities that are part of the Rider’s regular routine. For example, if the Rider’s regular routine includes training at the gym, the pool and the track, and regular physio sessions, then the Rider should provide the name and address of the gym, pool, track and physio in their Whereabouts Filing, and then set out their usual routine, e.g., “Mondays: 9-11 gym, 13-17 gym; Tuesdays: 9-11 gym, 16-18 gym; Wednesdays: 9-11 track, 3-5 physio; Thursdays: 9-12 gym, 16-18 track, Fridays: 9-11 pool, 3-5 physio; Saturdays: 9-12 track, 13-15 pool; Sundays: 9-11 track, 13-15 pool”. If the Rider is not currently training, they should]
specify that in their Whereabouts Filing and detail any other routine that they will be following in the forthcoming quarter, e.g., their work routine, or school schedule, or rehab routine, or other routine, and identify the name and address of each location where that routine is conducted and the time frame during which it is conducted. In the case of a Team Sport or other sport where competing and/or training are carried out on a collective basis, the Rider’s regular activities are likely to include most, if not all, Team Activities.

f) The Rider’s Competition/Event schedule for the following quarter, including the name and address of each location where the Rider is scheduled to compete during the quarter and the date(s) and time(s) at which they are scheduled to compete at such location(s);

g) The Rider’s travel schedule; and

h) Any additional information deemed necessary to enable any Anti-Doping Organisation wishing to locate the Rider for Testing.

4.8.8.3 The Whereabouts Filing must also include, for each day during the following quarter, one specific 60-minute time slot between 5 a.m. and 11 p.m. each day where the Rider will be available and accessible for Testing at a specific location.

This does not limit in any way the Rider’s obligation to submit to Testing at any time and place upon request by an Anti-Doping Organization with Testing Authority over him/her. Nor does it limit his/her obligation to provide the information specified in Article 4.8.8.2 as to his/her whereabouts outside that 60-minute time slot.

[Comment to 4.8.8.3: The Rider can choose which 60-minute time slot between 5 a.m. and 11 p.m. to use for this purpose, provided that during the time slot in question they are somewhere accessible by the DCO. It could be the Rider’s place of residence, training or Competition, or it could be another location (e.g., work or school). A Rider is entitled to specify a 60-minute time slot during which they will be at a hotel, apartment building, gated community or other location where access to the Rider is obtained via a front desk, or security guard. It is up to the Rider to ensure accessibility to their selected 60-minute location with no advance warning to the Rider. In addition, a Rider may specify a time slot when they are taking part in a Team Activity. In either case, however, any failure to be accessible and available for Testing at the specified location during the specified time slot shall be pursued as a Missed Test.]

4.8.8.4 It is the Rider’s responsibility to ensure that they provide all of the information required in a Whereabouts Filing as outlined in Articles 4.8.8.2 and 4.8.8.3 accurately and in sufficient detail to enable any Anti-Doping Organisation wishing to do so to locate the Rider for Testing on any given day in the quarter at the times and locations specified by the Rider in their Whereabouts Filing for that day, including but not limited to during the 60-minute time slot specified for that day in the Whereabouts Filing.

a) More specifically, the Rider shall provide sufficient information to enable the DCO to find the location, to gain access to the location, and to find the Rider at the location with no advance notice to the Rider. A failure to
do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of Sample collection under UCI ADR Article 2.3, and/or Tampering or Attempted Tampering with Doping Control under UCI ADR Article 2.5. In any event, the Anti-Doping Organization shall consider Target Testing of the Rider.

[Comment to 4.8.8.4(a): For example, declarations such as “riding in the Black Forest” are insufficient and are likely to result in a Filing Failure. Similarly, specifying a location that the DCO cannot access (e.g., a “restricted-access” building or area) is likely to result in a Filing Failure. The Anti-Doping Organization may be able to determine the insufficiency of the information from the Whereabouts Filing itself, or alternatively it may only discover the insufficiency of the information when it attempts to test the Rider and is unable to locate them. In either case, the matter should be pursued as an apparent Filing Failure, and/or (where the circumstances warrant) as an evasion of Sample collection under UCI ADR Article 2.3, and/or as Tampering or Attempting to Tamper with Doping Control under UCI ADR Article 2.5. Further information on Whereabouts Filing requirements can be found in WADA’s Guidelines for Implementing an Effective Testing Program. Where a Rider does not know precisely what their whereabouts will be at all times during the forthcoming quarter, they must provide their best information, based on where they expect to be at the relevant times, and then update that information as necessary in accordance with Article 4.8.8.5.]

b) If the Rider is tested during the 60-minute time slot, the Rider must remain with the DCO until the Sample collection has been completed, even if this takes longer than the 60-minute time slot. A failure to do so shall be pursued as an apparent violation of UCI ADR Article 2.3 (refusal or failure to submit to Sample collection).

c) If the Rider is not available for Testing at the beginning of the 60-minute time slot, but becomes available for Testing later on in the 60-minute time slot, the DCO should collect the Sample and should not process the attempt as an unsuccessful attempt to test, but should report the details of the delay in availability of the Rider. Any pattern of behaviour of this type should be investigated as a possible anti-doping rule violation of evading Sample collection under UCI ADR Article 2.3 or UCI ADR Article 2.5. It may also prompt Target Testing of the Rider. If a Rider is not available for Testing during their specified 60-minute time slot at the location specified for that time slot for that day, they will be liable for a Missed Test even if they are located later that day and a Sample is successfully collected from them.

d) Once the DCO has arrived at the location specified for the 60-minute time slot, if the Rider cannot be located immediately, then the DCO should remain at that location for whatever time is left of the 60-minute time slot and during that remaining time they should do what is reasonable in the circumstances to try to locate the Rider.

[Comment to 4.8.8.4(d): Where an Rider has not been located despite the DCO’s reasonable efforts, and there are only five (5) minutes left within the 60-minute time slot, then as a last resort the DCO may (but does not have to) telephone the Rider (assuming they have provided their telephone number in their Whereabouts Filing) to
see if they are at the specified location. If the Rider answers the DCO’s call and is available at (or in the immediate vicinity of) the location for immediate Testing (i.e., within the 60-minute time slot), then the DCO should wait for the Rider and should collect the Sample from them as normal. However, the DCO should also make a careful note of all the circumstances, so that it can be decided if any further investigation should be conducted. In particular, the DCO should make a note of any facts suggesting that there could have been tampering or manipulation of the Rider’s urine or blood in the time that elapsed between the phone call and the Sample collection. If the Rider answers the DCO’s call and is not at the specified location or in the immediate vicinity, and so cannot make himself/herself available for Testing within the 60-minute time slot, the DCO should file an Unsuccessful Attempt Report.

4.8.8.5 Where a change in circumstances means that the information in a Whereabouts Filing is no longer accurate or complete as required by Article 4.8.8.4, the Rider shall file an update so that the information on file is again accurate and complete. The Rider must always update their Whereabouts Filing to reflect any change in any day in the quarter in question in particular; (a) in the time or location of the 60-minute time slot specified in Article 4.8.8.3; and/or (b) in the place where they are staying overnight. The Rider shall file the update as soon as possible after they become aware of the change in circumstances, and in any event prior to the 60-minute time slot specified in their filing for the relevant day. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of Sample collection under UCI ADR Article 2.3, and/or Tampering or Attempted Tampering with Doping Control under UCI ADR Article 2.5. In any event, the Anti-Doping Organization shall consider Target Testing of the Rider.

[Comment to 4.8.8.5: The Anti-Doping Organization collecting the Rider’s Whereabouts Filings should provide appropriate mechanisms (e.g., phone, fax, Internet, email, SMS, approved social networking sites or applications) to facilitate the filing of such updates. It is the responsibility of each Anti-Doping Organization with authority to conduct Testing on the Rider to ensure that it checks for any updates filed by the Rider prior to attempting to collect a Sample from the Rider based on their Whereabouts Filing. For the avoidance of doubt, however, a Rider who updates their 60-minute time slot for a particular day prior to the original 60-minute slot must still submit to Testing during the original 60-minute time slot, if they are located for Testing during that time slot.]

4.8.9 Availability for Testing

4.8.9.1 Every Rider must submit to Testing at any time and place upon request by an Anti-Doping Organization with authority to conduct Testing. In addition, a Rider in a Registered Testing Pool must specifically be present and available for Testing on any given day during the 60-minute time slot specified for that day in their Whereabouts Filing, at the location that the Rider has specified for that time slot.

[Comment to 4.8.9.1: For Testing to be effective in deterring and detecting cheating, it should be as unpredictable as possible. Therefore, the intent behind the 60-minute time slot is not to limit Testing to that period, or to create a ‘default’ period for Testing, but rather:
a) To make it very clear when an unsuccessful attempt to test a Rider will count as a Missed Test;

b) To guarantee that the Rider can be found, and a Sample can be collected, at least once per day (which should deter doping, or, as a minimum, make it far more difficult);

c) To increase the reliability of the rest of the whereabouts information provided by the Rider, and so to assist the Anti-Doping Organization in locating the Rider for Testing outside the 60-minute time slot. The 60-minute time slot “anchors” the Rider to a certain location for a particular day. Combined with the information that the Rider must provide as to where they are staying overnight, training, competing and conducting other ‘regular’ activities during that day, the Anti-Doping Organization should be able to locate the Rider for Testing outside the 60-minute time slot; and

d) To generate useful anti-doping intelligence, e.g., if the Rider regularly specifies time slots with large gaps between them, and/or changes his time slot and/or location at the last minute. Such intelligence can be relied upon as a basis for the Target Testing of such Rider.

4.8.10 UCI Testing Pool

4.8.10.1 The tier below the UCI Registered Testing Pool is the UCI Testing Pool and should include Riders from whom some whereabouts information is required in order to locate and test the Rider at least once per year Out-of-Competition.

The UCI shall consider the following criteria for including Riders into the UCI Testing pool:

a) Riders whom the UCI plans to test at least once per year Out-of-Competition (either independently or in agreed coordination with other Anti-Doping Organizations with Testing Authority over the same Riders);

b) Riders that have sufficient whereabouts information to locate them for Testing through regular team Competition/Event and Team Activities.

4.8.10.2 The UCI shall notify each Rider designated for inclusion in the UCI Testing Pool of the following:

a) The fact that they have been included in the UCI Testing Pool with effect from a specified date in the future;

b) The whereabouts requirements with which they shall therefore comply;

c) The Consequences if they fail to comply with those whereabouts’ requirements; and

d) That they may also be tested by other Anti-Doping Organizations with authority to conduct Testing.
4.8.10.3 **Riders** who have been included in the *UCI Testing Pool* shall continue to be subject to the obligation to comply with the whereabouts requirements unless and until:

a) They have been given written notice by the UCI that they are no longer designated for inclusion in the *UCI Testing Pool*; or

b) They give written notice of their retirement to the UCI.

[Comment: Retirement is effective once the UCI has received the Rider’s written notice of his/her retirement.]

4.8.10.4 **Riders** who no longer meet the criteria for inclusion in the *UCI Testing Pool* shall be removed from the *UCI Testing Pool*.

4.8.10.5 **Riders** in the *UCI Testing Pool* shall file, by the 15th of the month preceding the quarter (i.e. 15 December, 15 March, 15 June, 15 September), a *Whereabouts Filing* that contains the information provided under Article 4.8.8.2 only.

4.8.10.6 **Riders** included in the *UCI Testing Pool* shall not be subject to **Consequences** for Article 2.4 violations (Whereabouts Failure by a Rider) as provided in *UCI ADR Article 10.3.2.*

A Rider’s failure to comply with the requirements of the *UCI Testing & Investigations Regulations* might result in the UCI elevating the Rider to the *UCI Registered Testing Pool*.

In addition, to ensure accurate whereabouts are filed and maintained by Riders in the *UCI Testing Pool*, the UCI may, within its rules and procedures, include appropriate and proportionate non-UCI ADR Article 2.4 consequences to individual Riders or teams who are part of its Testing Pool if:

a) the whereabouts information is not filed on the date(s) stated in the rules; or

b) the whereabouts information is not found to be accurate following an attempt to test; or

c) information is obtained that is contrary to the whereabouts information provided.

[Comment to Article 4.8.10.6: Such consequences may be in addition to the elevation of a Rider into the Registered Testing Pool].

4.8.10.7 Whereabouts for **Riders** in the *UCI Testing Pool* should also be filed in ADAMS to enable better Testing coordination between Anti-Doping Organizations. The UCI or a National Anti-Doping Organization may also request *Whereabouts Filing* schedules with more regular deadlines e.g., weekly, monthly or quarterly within their rules or procedures which better suit the needs and demands of *Team Activities* in the relevant sport(s).
4.8.11 Other Pool(s)

4.8.11.1 The UCI may implement other pool(s) for Riders who do not meet the criteria of Article 4.5.2 and where diminishing whereabouts requirements may be defined by the UCI. Riders in such pool(s) are not subject to UCI ADR Article 2.4 Whereabouts Requirements.

4.8.12 Selecting Riders for the different whereabouts pools and coordination between the UCI and National Anti-Doping Organizations.

4.8.12.1 The UCI has the discretion to select which Rider goes into which type of whereabouts pool. However, the UCI shall be able to demonstrate they have made a proper assessment of the relevant risks, the necessary prioritization in accordance with Articles 4.2 to 4.7, and that they have adopted appropriate criteria based on the results of that assessment.

4.8.12.2 Once the UCI has selected Riders for its Registered Testing Pool, it shall share and maintain the list of Riders through ADAMS with the relevant National Anti-Doping Organization.

4.8.12.3 If a Rider is in one whereabouts pool of the UCI and another whereabouts pool for their National Anti-Doping Organization, he/she shall file their whereabouts and comply with whichever whereabouts pool has the greater whereabouts requirements.

4.8.12.4 The UCI and National Anti-Doping Organizations shall coordinate Rider whereabouts pool selection and Testing activities to avoid duplication and maximize use of resources. As a result of such coordination and resource efficiencies, either the UCI or National Anti-Doping Organization shall consider adding more Riders to its Registered Testing Pool or Testing Pool to ensure a greater level of Testing is conducted across a wider range of “at risk” Riders.

4.8.12.5 The UCI and each National Anti-Doping Organization shall:

a) Regularly review and update as necessary their criteria for including Riders in their Registered Testing Pool and Testing Pool(s) to ensure that they remain fit for purpose, i.e., they are capturing all appropriate Riders. They shall take into account the Competition/Event calendar for the relevant period and change or increase the number of Riders in the Registered Testing Pool or Testing Pool in the lead-up to a major Event (e.g., Olympic Games, Paralympic Games, World Championship and other multi-sport Events) to ensure those Riders participating are subject to a sufficient level of Out-of-Competition Testing in accordance with any Risk Assessment.

b) Periodically (but no less than quarterly) review the list of Riders in their Registered Testing Pool and Testing Pool(s) to ensure that each listed Rider continues to meet the relevant criteria. Riders who no longer meet the criteria should be removed from the Registered Testing Pool and/or
Testing Pool and Riders who now meet the criteria should be added. The UCI and National Anti-Doping Organization shall advise such Riders of the change in their status and make a new list of Riders in the applicable pool available, without delay.

4.8.13 Major Event Organizations

For periods when Riders come under the Testing Authority of a Major Event Organization:

a) If the Riders are in the UCI Registered Testing Pool or the UCI Testing Pool, then the Major Event Organization may access their Whereabouts Filings for the relevant period in order to conduct Out-of-Competition Testing on them; or

b) If the Riders are neither in the UCI Registered Testing Pool nor UCI Testing Pool, then the Major Event Organization may adopt Event-specific rules, including consequences requiring them or the relevant third party to provide such information about their whereabouts for the relevant period as it deems necessary and proportionate in order to conduct Out-of-Competition Testing.

4.8.14 Whereabouts Responsibilities

4.8.14.1 Notwithstanding any other provision of Article 4.8:

a) The UCI may propose, and a National Anti-Doping Organization may agree to, the delegation of some or all of the whereabouts responsibilities of the UCI under Article 4.8 to the National Anti-Doping Organization or Doping Control Coordinator subject to (e) below;

b) The UCI may delegate some or all of its whereabouts responsibilities under Article 4.8 to the Rider’s National Federation or Doping Control Coordinator subject to (e) below; or

c) Where no appropriate National Anti-Doping Organization exists, the National Olympic Committee shall assume the whereabouts responsibilities of the National Anti-Doping Organization set out in Article 4.8; and

d) Where WADA determines that the UCI is not discharging some or all of its whereabouts responsibilities under Article 4.8, WADA may delegate some or all of those responsibilities to any other appropriate Anti-Doping Organization.

e) At all times the Anti-Doping Organization (whether the International Federation, National Anti-Doping Organization or other Anti-Doping Organization with authority over the Rider in question) that delegates its responsibilities (in whole or in part) to a National Federation or Doping Control Coordinator remains ultimately responsible for the acts and/or omissions of such entity to whom it has delegated authority.
4.8.14.2 A National Federation must use its best efforts to assist the UCI and/or National Anti-Doping Organization (as applicable) in collecting Whereabouts Filings from Riders who are subject to that National Federation’s authority, including (without limitation) making special provision in its rules for that purpose.

4.8.14.3 Without prejudice to the Rider’s obligations described in Article 4.8, during races, to enable the DCO to locate the Rider in an efficient manner, the Team shall provide a detailed list of its Riders’ accommodations to the Sample Collection Authority as soon the information becomes available.

[Comment: For the sake of clarity, this list shall indicate the precise address of the accommodations and exact room number for each Rider.

Failure to provide correct information about Rider’s whereabouts or Refusal to give information (such as the list of accommodations referred to above) or Obstructing Testing in any other way may be pursued (if the circumstances so warrant) as an anti-doping violation under article UCI ADR 2.5 (Tampering or Attempted Tampering) against the Rider Support Personnel.]

4.8.14.4 A Rider may choose to delegate the task of making their Whereabouts Filings (and/or any updates thereto) to a third party, such as a coach, a manager or a National Federation, provided that the third party agrees to such delegation. The Anti-Doping Organization collecting the Rider’s Whereabouts Filings may require written notice of any agreed delegation to be filed with it, signed by both the Rider in question and the third-party delegate.

[Comment to 4.8.14.4: For example, an Rider participating in a Team Sport or other sport where competing and/or training is carried out on a collective basis, may delegate the task of making their Whereabouts Filings to the team, to be carried out by a coach, a manager or a National Federation. Indeed, for the sake of convenience and efficiency, a Rider in such a sport may delegate the making of their Whereabouts Filings to their team not only in respect of periods of Team Activities but also in respect of periods where they are not with the team, provided the team agrees. In such circumstances, the Rider will need to provide the information as to their individual whereabouts for the period in question to the team, to supplement the information it provides in relation to Team Activities.]

4.8.14.5 In all cases:

a) Each Rider in a Registered Testing Pool remains ultimately responsible at all times for making accurate and complete Whereabouts Filings, whether they make each filing personally or delegates the task to a third party. It shall not be a defence to an allegation of a Filing Failure that the Rider delegated such responsibility to a third party and that third party failed to comply with the applicable requirements; and

b) Such Rider remains personally responsible at all times for ensuring they are available for Testing at the whereabouts declared on their Whereabouts Filings. It shall not be a defence to an allegation of a Missed Test that the Rider delegated responsibility for filing their whereabouts information for the relevant period to a third party and that third party failed to file the correct information or failed to update previously-filed information so as to ensure that the whereabouts information in the Whereabouts Filing for the day in question was current and accurate.
4.9 Coordinating with other Anti-Doping Organizations

4.9.1 The UCI shall coordinate its Testing efforts with the efforts of other Anti-Doping Organizations with overlapping Testing Authority, in order to maximize the effectiveness of those combined efforts, to avoid unnecessarily repetitive Testing of particular Riders and to ensure Riders competing at International Events are suitably tested in advance. In particular the UCI shall:

a) Consult with other relevant Anti-Doping Organizations in order to coordinate Testing activities (including Rider whereabouts pool selection and Test Distribution Plans, which may include Out-of-Competition Testing in the lead up to a major Event) and to avoid duplication. Clear agreement on roles and responsibilities for Event Testing shall be agreed in advance in accordance with UCI ADR Article 5.3. Where such agreement is not possible, WADA will resolve the matter in accordance with the principles set out at Annex H – Event Testing.

b) Within twenty-one (21) days of Sample collection, enter the Doping Control form into ADAMS for all Samples collected.

c) Share information on whereabouts requirements on Riders where there is overlapping Testing Authority via ADAMS.

d) Share information on Athlete Biological Passport programs where there is overlapping Testing Authority via ADAMS.

e) Share intelligence on Riders where there is overlapping Testing Authority.

4.9.2 The UCI may contract other Anti-Doping Organizations or Delegated Third Parties to act as a Doping Control Coordinator or Sample Collection Authority on its behalf. In the terms of the contract, the UCI (which, for these purposes, is the Testing Authority) may specify how any discretion afforded to a Sample Collection Authority under the UCI Testing & Investigations Regulations is to be exercised by the Sample Collection Authority when collecting Samples on its behalf.

[Comment to 4.9.2: For example, the UCI Testing and Investigations Regulations confers discretion as to the criteria to be used to validate the identity of the Rider (Article 5.3.4), as to the circumstances in which delayed reporting to the Doping Control Station may be permitted (Article]
5.5.2), as to who may be present during the Sample Collection Session (Article 6.3.3), as to the criteria to be used to ensure that each Sample collected is stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station (Article 8.3.1), and as to the guidelines to be followed by the DCO in determining whether exceptional circumstances exist that mean a Sample Collection Session should be abandoned without collecting a Sample with a Suitable Specific Gravity for Analysis (Article F.4.5) and share information/intelligence obtained (Article 11).]

4.9.3 Anti-Doping Organizations should consult and coordinate with each other, with WADA, and with law enforcement and other relevant authorities, in obtaining, developing and sharing information and intelligence that can be useful in informing test distribution planning, in accordance with Article 11.

5.0 Notification of Riders

5.1 Objective

The objective is to ensure that a Rider who has been selected for Testing is properly notified with no advance notice of Sample collection as outlined in Articles 5.3.1 and 5.4.1, that the rights of the Rider are maintained, that there are no opportunities to manipulate the Sample to be provided, and that the notification is documented.

5.2 General

Notification of Riders starts when the Sample Collection Authority initiates the notification of the selected Rider and ends when the Rider arrives at the Doping Control Station or when the Rider’s possible Failure to Comply has occurred. The main activities are:

a) Appointment of DCOs, Chaperones and other Sample Collection Personnel sufficient to ensure No Advance Notice Testing and continuous observation of Riders notified of their selection to provide a Sample;

b) Locating the Rider and/or ensuring that the List for notification purposes is displayed, where applicable;

c) Confirming the Rider’s identity;

d) Informing the Rider that they have been selected to provide a Sample and of their rights and responsibilities;

e) Continuously chaperoning the Rider from the time of notification to the arrival at the designated Doping Control Station; and

f) Documenting the notification, or notification attempt.
5.3 Requirements prior to notification of Riders

5.3.1 No Advance Notice Testing shall be the method for Sample collection save in exceptional and justifiable circumstances.

The Rider shall be the first Person notified that they have been selected for Sample collection, except where:

a) Prior contact with a third party is required as specified in Article 5.3.7;

b) Where notification can be done through the Rider Support Personnel as provided for in Article 5.3.8;

c) Where the Rider has the obligation to consult the List for notification purposes as described in Article 5.3.9 and following.

[Comment to 5.3.1: Every effort should be made to ensure Event Venue or training venue staff are not aware that Testing may take place in advance. It is not justifiable for a National Federation or other body to insist that it be given advance notice of Testing of Riders under its authority so that it can have a representative present at such Testing.]

5.3.2 To conduct or assist with the Sample Collection Sessions, the Sample Collection Authority shall appoint and authorize Sample Collection Personnel who have been trained for their assigned responsibilities, who do not have a conflict of interest in the outcome of the Sample collection, and who are not Minors.

5.3.3 Sample Collection Personnel shall have official documentation, provided by the Sample Collection Authority, evidencing their authority to collect a Sample from the Rider, such as an authorization letter from the Testing Authority. DCOs shall also carry complementary identification which includes their name and photograph (i.e., identification card from the Sample Collection Authority, driver’s license, health card, passport or similar valid identification) and the expiry date of the identification.

5.3.4 The Testing Authority or otherwise the Sample Collection Authority shall establish criteria to validate the identity of a Rider selected to provide a Sample. This ensures the selected Rider is the Rider who is notified. If the Rider is not readily identifiable, a third party may be asked to identify him/her and the details of such identification documented.

5.3.5 The Sample Collection Authority, DCO or Chaperone, as applicable, shall establish the location of the selected Rider and plan the approach and timing of notification, taking into consideration the specific circumstances and the situation in question.

5.3.6 The Sample Collection Authority, DCO or Chaperone shall document Rider notification attempt(s) and outcome(s).

5.3.7 The Sample Collection Authority, DCO or Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification of the Rider; in the following situations:
a) Where required by a Rider's impairment (as provided for in Annex A - Modifications for Riders with Impairments);

b) Where the Rider is a Minor (as provided for in Annex B – Modifications for Riders who are Minors);

c) Where an interpreter is required and available for the notification;

d) Where required to assist Sample Collection Personnel to identify the Rider(s) to be tested and to notify such Rider(s) that they are required to provide a Sample.

[Comment to 5.3.7: It is permissible to notify a third party that Testing of Minors or Riders with impairments will be conducted. However, there is no requirement to notify any third party (e.g., a team doctor) of the Doping Control mission where such assistance is not needed. Should a third party be required to be notified prior to notification, the third party should be accompanied by the DCO or Chaperone to notify the Rider.]

5.3.8 Whenever the Rider Support Personnel is found at the place where the notification was due to take place, the Rider may be validly notified via his/her Rider Support Personnel. For such purpose, Rider Support Personnel must always be in a position to indicate where their Riders are in order that they may be contacted as quickly as possible.

[Comment: Failure to provide correct information about Rider’s whereabouts or Refusal to give information or Obstructing Testing in any other way may be pursued (if the circumstances so warrant) as an anti-doping violation under Article UCI ADR 2.5 (Tampering or Attempted Tampering) against the Rider Support Personnel.]

5.3.9 In the scope of Post-Finish Testing, the Riders who are required to appear for Sample collection may be identified on the List for notification purposes.

If instructed by the UCI, the Sample Collection Authority or Personnel will draw up the List for notification purposes of Riders to be tested in the scope of Post-Finish Testing. The List for notification purposes shall be displayed at the finish line and at the entrance of the Doping Control Station as per the UCI’s instructions.

Riders shall be identified on the List for notification purposes by either their name, race number or place in the ranking.

The absence of the Rider’s name, race number or placing from the List for notification purposes shall not be deemed as an excuse if the Rider is identified in another manner or if it is established that he/she had become aware in another way that he was required to appear for Sample collection.

5.3.10 Any Rider participating in an Event, including any Rider who has abandoned or did not otherwise finish the Event, shall be responsible for ensuring whether he/she has been selected to undergo Sample collection in the scope of Post-Finish Testing.

For such purposes, should a Rider not have been notified by a Chaperone within ten (10) minutes after he/she crossed the finish line, where applicable, the Rider shall
locate and proceed to the place where the List for notification purposes is displayed and/or must directly go to the Doping Control Station.

For avoidance of doubt, a Rider who has abandoned or did not otherwise finish the Event shall comply with the same obligations as the Rider who finished the Event. More precisely, the Rider who abandoned or did not otherwise finish the Event, must attend the Doping Control Station within 30 (thirty) minutes of the finishing time of the last classified Rider, at the latest.

5.3.11 The absence of notification by a Chaperone, abandoning and/or not otherwise finishing the Event, shall not exonerate the Rider from his obligation to report in time to the Doping Control Station and to submit to Sample collection, if required.

[Comment: No additional form of notification (for example: audio announcement) has to be used. The absence of an additional form of notification shall not be interpreted as an indication that no Testing will take place and is no excuse for failing to submit to Sample collection. When a Rider does not appear for Sample collection, there is no obligation for the Sample Collection Personnel or organizer to try to contact or notify the Rider.]

5.3.12 If a Rider foresees that he/she might be prevented from reporting within the time-limit provided for in Article 5.5, he/she shall try, by all available means, to inform the DCO.

5.4 Requirements for notification of Riders

5.4.1 When initial contact is made, the Sample Collection Authority, DCO or Chaperone, as applicable, shall ensure that the Rider and/or a third party (if required in accordance with Article 5.3.7) is informed:

a) That the Rider is required to undergo a Sample collection;

b) Of the authority under which the Sample collection is to be conducted;

c) Of the type of Sample collection and any conditions that need to be adhered to prior to the Sample collection;

d) Of the Rider's rights, including the right to:

(i) Have a representative and, if available, an interpreter accompany them, in accordance with Article 6.3.3(a);

(ii) Ask for additional information about the Sample collection process;

(iii) Request a delay in reporting to the Doping Control Station for valid reasons in accordance with Article 5.5.2; and

(iv) Request modifications as provided for in Annex A – Modifications for Riders with Impairments.

e) Of the Rider's responsibilities, including the requirement to:
(i) Remain within continuous observation of the DCO/Chaperone at all times from the point initial contact is made by the DCO/Chaperone until the completion of the Sample collection procedure;

(ii) Produce identification in accordance with Article 5.3.4;

(iii) Comply with Sample collection procedures (and the Rider should be advised of the possible Consequences of a Failure to Comply); and

(iv) Report immediately for Sample collection, and at the latest within thirty (30) minutes of finishing the Event, unless there are valid reasons for a delay, as determined in accordance with Article 5.5.2.

f) Of the location of the Doping Control Station;

  g) That should the Rider choose to consume food or fluids prior to providing a Sample, they do so at their own risk;

  h) Not to hydrate excessively, since this may delay the production of a suitable Sample; and

i) That any urine Sample provided by the Rider to the Sample Collection Personnel shall be the first urine passed by the Rider subsequent to notification, i.e., they shall not pass urine in the shower or otherwise prior to providing a Sample to the Sample Collection Personnel.

5.4.2 When contact is made, the DCO/Chaperone shall:

  a) From the time of such contact until the Rider leaves the Doping Control Station at the end of their Sample Collection Session, keep the Rider under observation at all times;

  b) Identify themselves to the Rider using the documentation referred to in Article 5.3.3; and

  c) Confirm the Rider’s identity as per the criteria established in Article 5.3.4. Confirmation of the Rider’s identity by any other method, or failure to confirm the identity of the Rider, shall be documented and reported to the Testing Authority.

  [Comment to Article 5.4.2 let.c: The DCO may ask to provide further identification in due time, including after the Sample collection. The Rider shall comply with the DCO’s instructions to that effect.]

  In cases where the Rider’s identity cannot be confirmed as per the criteria established in Article 5.3.4, the Testing Authority shall decide whether it is appropriate to follow up in accordance with Annex A – Review of a Possible Failure to Comply of the UCI Results Management Regulations.

5.4.3 The DCO/Chaperone shall have the Rider or his/her support personnel sign an appropriate form to acknowledge and accept the notification. If the Rider or his/her
support personnel refuses to sign that they have been notified, or evades the notification, the DCO/Chaperone shall, if possible, inform the Rider or his/her support personnel of the Consequences of a Failure to Comply, and the Chaperone (if not the DCO) shall immediately report all relevant facts to the DCO. When possible, the DCO shall continue to collect a Sample. The DCO shall document the facts in a detailed report and report the circumstances to the Testing Authority. The Testing Authority shall follow the steps prescribed in Annex A - Review of a Possible Failure to Comply of the UCI Results Management Regulations.

The signature of the Rider’s Support Personnel on the notification form shall bind the Rider. [Comment to Article 5.4.3: A notification form in electronic format is deemed valid and sufficient proof of notification and acceptance. It produces the same effects as a paper document.]

5.5 Time-limit and Permissible Delays

5.5.1 The time-limit within which the Rider is to appear for Sample taking shall be set by the DCO, taking account the circumstances of the Testing.

Sample collection shall start as soon as possible and, except in abnormal circumstances, not later than one (1) hour after the Rider and/or third party’s acceptance and acknowledgment of the notification as per Article 5.4.3, except where Article 5.5.2 applies.

5.5.2 The DCO/Chaperone may at their discretion consider any reasonable third party request or any request by the Rider for permission to delay reporting to the Doping Control Station following acknowledgment and acceptance of notification, and/or to leave the Doping Control Station temporarily after arrival. The DCO/Chaperone may grant such permission if the Rider can be continuously chaperoned and kept under continuous observation during the delay. Delayed reporting to or temporary departure from the Doping Control Station may be permitted for the following activities:

a) For In-Competition Testing:
   (i) Participation in a presentation ceremony;
   (ii) Fulfilment of media commitments;
   (iii) Competing in further Competitions;
   (iv) Performing a warm down;
   (v) Obtaining necessary medical treatment;
   (vi) Locating a representative and/or interpreter;
   (vii) Obtaining photo identification; or
   (viii) Any other reasonable circumstances, as determined by the DCO, taking into
account any instructions of the *Testing Authority*.

b) For *Out-of-Competition Testing*:

(i) Locating a representative;

(ii) Completing a training session;

(iii) Receiving necessary medical treatment;

(iv) Obtaining photo identification; or

(v) Any other reasonable circumstances, as determined by the DCO, taking into account any instructions of the *Testing Authority*.

5.5.3 A DCO/Chaperone shall reject a request for delay from a *Rider* if it will not be possible for the *Rider* to be continuously observed during such delay.

5.5.4 The DCO/Chaperone or other authorized *Sample Collection Personnel* shall document any reasons for delay in reporting to the *Doping Control Station* and/or reasons for leaving the *Doping Control Station* that may require further investigation by the *Testing Authority*.

5.5.5 If the *Rider* delays reporting to the *Doping Control Station* other than in accordance with Article 5.5.2 and/or any failure of the *Rider* to remain under constant observation during chaperoning but the *Rider* arrives at the *Doping Control Station* prior to the DCO’s departure from the sample collection location, the DCO shall report a possible *Failure to Comply*. If at all possible, the DCO shall proceed with collecting a *Sample* from the *Rider*. The *Testing Authority* shall investigate a possible *Failure to Comply* in accordance with Annex A – Review of a Possible *Failure to Comply* in the *UCI Results Management Regulations*.

5.5.6 If *Sample Collection Personnel* observe any other matter with potential to compromise the collection of the *Sample*, the circumstances shall be reported to and documented by the DCO. If deemed appropriate by the DCO, the DCO shall consider if it is appropriate to collect an additional *Sample* from the *Rider*. The *Testing Authority* shall investigate a possible *Failure to Comply* in accordance with Annex A – Review of a Possible *Failure to Comply* in the *UCI Results Management Regulations*.

*Comment to Article 5.5.4, 5.5.5 and 5.5.6: Where applicable, the DCO shall offer the Rider the opportunity to provide comments and explanation on the relevant matter.*
6.0 Preparing for the Sample Collection Session

6.1 Objective

To prepare for the Sample Collection Session in a manner that ensures that the session can be conducted efficiently and effectively, including with sufficient resources e.g., personnel and equipment.

6.2 General

Preparing for the Sample Collection Session starts with the establishment of a system for obtaining relevant information for effective conduct of the session and ends when it is confirmed that the Sample Collection Equipment conforms to the specified criteria. The main activities are:

a) Establishing a system for collecting details regarding the Sample Collection Session;

b) Establishing criteria for who may be present during a Sample Collection Session;

c) Ensuring that the Doping Control Station meets the minimum criteria prescribed in Article 6.3.2; and

d) Ensuring that the Sample Collection Equipment meets the minimum criteria prescribed in Article 6.3.4.

6.3 Event Testing

6.3.1 The Sample Collection Authority shall appoint and authorise Sample Collection Personnel to conduct or assist with Sample Collection Sessions who have been trained for their assigned responsibilities, who do not have a conflict of interest in the outcome of the Sample collection, and who are not Minors.

6.3.2 At UCI International Events within the meaning of UCI ADR 5.3.2:

6.3.2.1 The UCI shall appoint and authorise the DCO in accordance with Article 6.2.1.

6.3.2.2 The organizer shall appoint and authorise the Chaperones and witnesses to assist with Sample Collection Sessions in accordance with Article 6.2.1. The organizer shall ensure the availability of witnesses of the same gender as the Riders who are expected to be called for urine Sample collection. The race medical staff shall not be appointed as witnesses for urine Sample collection.

6.3.2.3 The organizer is required to provide at least one Chaperone for every Rider selected to undergo Testing. Whenever applicable, the Chaperones shall be of the same gender as the Riders.

6.3.2.4 If necessary, the DCO may appoint supplementary Sample Collection Personnel on-site or the DCO may conduct the Testing alone, provided he/she appoints, where applicable, a witness of the same gender as the Rider.

6.3.2.5 The DCO shall have official documentation, provided by the UCI, evidencing
his/her authority to collect a Sample from the Rider, such as an authorisation letter from the UCI. DCOs shall also carry complementary identification which includes their name and photograph (i.e., identification card from the UCI, driver's licence, health card, passport or similar valid identification) and the expiry date of the identification.

6.3.2.6 The organizer shall provide official documentation to the all Sample Collection Personnel.

[Comment: With respect to Sample Collection Personnel other than the DCO, accreditation from the organizer is deemed sufficient evidence of authority to partake in the Sample Collection Session.]

6.3.2.7 The organizer has the overall responsibility for the logistic and practical aspects of the organization of the Testing at the Event. The organizer must ensure that all Sample Collection Personnel other than those appointed by the UCI and all infrastructure and equipment are available so that Testing can be carried out in accordance with the UCI ADR and the UCI Testing and Investigations Regulations.

6.3.2.8 The National Federation of the organizer must assist the organizer to carry out the logistic and practical aspects of Testing, if needed. The National Federation remains ultimately responsible for the overall organization of the practical aspects thereof. In case of negligence in the logistic and practical organization of the Testing, the National Federation and the organizer shall be jointly and severally sanctioned with a fine of up to CHF 10’000. For multi-day Events, the fine may be increased by the number of days for which the negligence persists. If, as a result of organizer’s negligence, the DCO appointed by the UCI is unable to carry out his mission properly, the National Federation and the organizer shall be jointly and severally liable to refund his expenses.

6.3.2.9 For time trial at the UCI World Championships, a Hot Seat must be available to accommodate the current lead team or the three current lead Riders. At other Events, a Hot Seat must be made available to accommodate the current leading Rider or team.

6.4 Requirements for preparing for the Sample Collection Session

6.4.1 The Testing Authority, Doping Control Coordinator or Sample Collection Authority shall establish a system for obtaining all the information necessary to ensure that the Sample Collection Session can be conducted effectively, including identifying special requirements to meet the needs of Riders with impairments (as provided in Annex A - Modifications for Riders with Impairments) as well as the needs of Riders who are Minors (as provided in Annex B – Modifications for Riders who are Minors).

6.4.2 The DCO shall use a Doping Control Station which, at a minimum, ensures the Rider's privacy and where possible is used solely as a Doping Control Station for the duration of the Sample Collection Session. The DCO shall record any significant deviations from these criteria. Should the DCO determine the Doping Control Station is unsuitable, they shall seek an alternative location which fulfils the minimum criteria above.
6.4.3 The *Testing Authority* or *Sample Collection Authority* shall establish criteria for who may be authorized to be present during the *Sample Collection Session* in addition to the *Sample Collection Personnel*. At a minimum, the criteria shall include:

a) A *Rider*’s entitlement to be accompanied by a representative and/or interpreter during the *Sample Collection Session*, except when the *Rider* is passing a urine *Sample*;

b) The entitlement of a *Rider* with an impairment to be accompanied by a representative as provided for in Annex A - Modifications for *Riders* with Impairments;

c) A *Minor Rider*’s entitlement (as provided for in Annex B - Modifications for *Riders* who are *Minors*), and the witnessing DCO/Chaperone’s entitlement to have a representative observe the witnessing DCO/Chaperone when the *Minor Rider* is passing a urine *Sample*, but without the representative directly observing the passing of the *Sample* unless requested to do so by the *Minor Rider*;

d) A WADA-appointed observer under the WADA Independent Observer Program or WADA auditor (where applicable); and/or

e) An authorized *Person* who is involved in the training of *Sample Collection Personnel* or auditing the *Sample Collection Authority*.

[Comment to 6.4.3 (d) and (e): The WADA observer/auditor and/or authorized Person shall not directly observe the passing of a urine Sample]

6.4.4 The *Sample Collection Authority* shall only use *Sample Collection Equipment* systems for urine and blood *Samples* which, at a minimum:

a) Have a unique numbering system, incorporated into all A and B bottles, containers, tubes or other items used to seal the *Sample* and have a barcode or similar data code which meets the requirements of *ADAMS* on the applicable *Sample Collection Equipment*;

b) Have a *Tamper-Evident* sealing system;

c) Ensure the identity of the *Rider* is not evident from the equipment itself;

d) Ensure that all equipment is clean and sealed prior to use by the *Rider*;

e) Are constructed of a material and sealing system that is able to withstand the handling conditions and environment in which the equipment will be used or subjected to, including but not limited to transportation, *Laboratory* analysis and long term frozen storage up to the period of the statute of limitations;

f) Are constructed of a material and sealing system that will:

   (i) Maintain the integrity (chemical and physical properties) of the *Sample* for the *Analytical Testing*;
(ii) Can withstand temperatures of -80 °C for urine and blood. Tests conducted to determine integrity under freezing conditions shall use the matrix that will be stored in the Sample bottles, containers or tubes i.e., blood or urine;

(iii) Are constructed of a material and sealing system that can withstand a minimum of three (3) freeze/thaw cycles;

g) The A and B bottles, containers and tubes shall be transparent, so the Sample is visible;

h) Have a sealing system which allows verification by the Rider and the DCO that the Sample is correctly sealed in the A and B bottles or containers;

i) Have a built-in security identification feature(s) which allows verification of the authenticity of the equipment;

j) Are compliant with the standards published by the International Air Transport Association (IATA) for the transport of exempt human specimens which includes urine and/or blood Samples in order to prevent leakage during transportation by air;

k) Have been manufactured under the internationally recognized ISO 9001 certified process which includes quality control management systems;

l) Can be resealed after initial opening by a Laboratory using a new unique Tamper-Evident sealing system with a unique numbering system to maintain the integrity of the Sample and Chain of Custody in accordance with the requirements of the International Standard for Laboratories for long term storage of the Sample and further analysis;

m) Have undergone testing by a testing institution that is independent of the manufacturer and is ISO 17025 accredited, to validate at a minimum that the equipment meets the criteria set out in subsections b), f), g), h), i), j) and l) above;

n) Any modification to the material or sealing system of the equipment shall require re-testing to ensure it continues to meet the stated requirements as per m) above;

**For urine Sample collection:**

o) Have the capacity to contain a minimum of 85mL volume of urine in each A and B bottle or container;

p) Have a visual marking on the A and B bottles or containers and the collection vessel, indicating:

   (i) the minimum volume of urine required in each A and B bottle or container as outlined in Annex C – Collection of Urine;

   (ii) the maximum volume levels that allow for expansion when frozen without compromising the bottle, container or the sealing system; and
(iii) the level of Suitable Volume of Urine for Analysis on the collection vessel.

q) Include a partial Sample Tamper Evident sealing system with a unique numbering system to temporarily seal a Sample with an insufficient volume in accordance with Annex E – Urine Samples – Insufficient Volume;

**For blood Sample collection:**

r) Have the ability to collect, store and transport blood in separate A and B tubes and containers;

s) For the analysis of Prohibited Substances or Prohibited Methods in whole blood or plasma and/or for profiling blood parameters, the A and B tubes must have the capacity to contain a minimum of 3mL of blood and shall contain EDTA as an anticoagulant;

t) For the analysis of Prohibited Substances or Prohibited Methods in serum, the A and B tubes must have the capacity to contain a minimum of 5mL of blood and shall contain an inert polymeric serum separator gel and clotting activation factor; and

[Comment to 6.4.4 s) and t): If specific tubes have been indicated in the applicable WADA International Standard, Technical Document or Guidelines, then the use of alternative tubes which meet similar criteria shall be validated with the involvement of the relevant Laboratory(ies) and approved by WADA prior to use for Sample collection.]

u) For the transport of blood Samples, ensure the storage and transport device and temperature data logger meet the requirements listed in Annex I – Collection, Storage and Transport of Blood Athlete Biological Passport Samples.

[Comment to 6.4.4: It is strongly recommended that prior to the equipment being made commercially available to stakeholders, such equipment be distributed to the anti-doping community, which may include Riders, Testing Authorities, Sample Collection Authorities, Sample Collection Personnel, and Laboratories to seek feedback and ensure the equipment is fit for purpose.]

### 7.0 Conducting the Sample Collection Session

#### 7.1 Objective

To conduct the Sample Collection Session in a manner that ensures the integrity, security and identity of the Sample and respects the privacy and dignity of the Rider.

#### 7.2 General

The Sample Collection Session starts with defining overall responsibility for the conduct of the Sample Collection Session and ends once the Sample has been collected and secured and the Sample collection documentation is complete. The main activities are:
a) Preparing for collecting the Sample;

b) Collecting and securing the Sample; and

c) Documenting the Sample collection.

### 7.3 Requirements prior to Sample collection

#### 7.3.1
The Sample Collection Authority shall be responsible for the overall conduct of the Sample Collection Session, with specific responsibilities delegated to the DCO.

#### 7.3.2
The DCO shall ensure that the Rider has been informed of their rights and responsibilities as specified in Article 5.4.1.

#### 7.3.3
The DCO/Chaperone shall advise the Rider not to hydrate excessively, having in mind the requirement to provide a Sample with a Suitable Specific Gravity for Analysis.

#### 7.3.4
The Anti-Doping Organization shall establish criteria regarding what items may be prohibited within the Doping Control Station. At a minimum these criteria shall prohibit the provision of alcohol or its consumption within the Doping Control Station.

#### 7.3.5
The Rider shall only leave the Doping Control Station under continuous observation by the DCO or Chaperone and with the approval of the DCO. The DCO shall consider any reasonable request by the Rider to leave the Doping Control Station, as specified in Articles 5.5.4, 5.5.5 and 5.5.6, until the Rider is able to provide a Sample.

#### 7.3.6
If the DCO gives approval for the Rider to leave the Doping Control Station, the DCO shall agree with the Rider on the following conditions of leave:

a) The purpose of the Rider leaving the Doping Control Station; the time of return (or return upon completion of an agreed activity);

b) That the Rider must remain under continuous observation throughout;

c) That the Rider shall not pass urine until they arrive back at the Doping Control Station; and

d) The DCO shall document the time of the Rider’s departure and return.

### 7.4 Requirements for Sample collection

#### 7.4.1
The DCO shall collect the Sample from the Rider according to the following protocol(s) for the specific type of Sample collection:

a) Annex C: Collection of Urine Samples;

b) Annex D: Collection of Blood Samples;

c) Annex I: Collection, Storage and Transport of Blood Athlete Biological Passport Samples.
7.4.2 Any behaviour by the Rider and/or Persons associated with the Rider or anomalies with potential to compromise the Sample collection shall be recorded in detail by the DCO. If appropriate, the Testing Authority shall apply Annex A - Review of a Possible Failure to Comply in the International Standard for Results Management.

7.4.3 If there are doubts as to the origin or authenticity of the Sample, the Rider shall be asked to provide an additional Sample. If the Rider refuses to provide an additional Sample, the DCO shall document in detail the circumstances around the refusal, and the UCI shall apply Annex A - Review of a Possible Failure to Comply in accordance with the UCI Results Management Regulations.

7.4.4 The DCO shall provide the Rider with the opportunity to document any concerns they may have about how the Sample Collection Session was conducted.

7.4.5 The following information shall be recorded as a minimum in relation to the Sample Collection Session:

a) Date, time of notification, name and signature of notifying DCO/Chaperone;

b) Arrival time of the Rider at the Doping Control Station and any temporary departures and returns;

c) Date and time of sealing of each Sample collected and date and time of completion of entire Sample collection process (i.e., the time when the Rider signs the declaration at the bottom of the Doping Control form);

d) The name of the Rider;

e) The date of birth of the Rider;

f) The gender of the Rider;

g) Means by which the Rider’s identity is validated (e.g., passport, driver’s license or Rider accreditation) including by a third party (who is so identified);

h) The Rider’s home address, email address and telephone number;

i) The Rider’s sport and discipline (in accordance with the TDSSA);

j) The name of the Rider’s coach and doctor (if applicable);

k) The Sample code number and reference to the equipment manufacturer;

l) The type of the Sample (urine, blood, etc.);

m) The type of Testing (In-Competition or Out-of-Competition);

n) The name and signature of the witnessing DCO/Chaperone;

o) The name and signature of the BCO (where applicable);
p) Partial Sample information, as per Article E.4.4;

q) Required Laboratory information on the Sample (i.e., for a urine Sample, its volume and specific gravity measurement);

r) Medications and supplements taken within the previous seven (7) days and (where the Sample collected is a blood Sample) blood transfusions within the previous three (3) months, as declared by the Rider;

s) For an Athlete Biological Passport blood Sample, the DCO/BCO shall record the information as outlined in Annex I - Collection, Storage and Transport of Blood Athlete Biological Passport Samples;

t) Any irregularities in procedures, for example, if advance notice was provided;

u) Rider comments or concerns regarding the conduct of the Sample Collection Session, as declared by the Rider;

v) Rider acknowledgment of the Processing of Sample collection data and description of such Processing in accordance with the International Standard for the Protection of Privacy and Personal Information;

w) Rider consent or otherwise for the use of the Sample(s) for research purposes;

x) The name and signature of the Rider’s representative (if applicable), as per Article 7.4.6;

y) The name and signature of the Rider;

z) The name and signature of the DCO;

aa) The name of the Testing Authority;

bb) The name of the Sample Collection Authority;

c) The name of the Results Management Authority; and

dd) The name of the Doping Control Coordinator (if applicable).

[Comment to 7.4.5: All of the aforementioned information does not need to be consolidated in a single Doping Control form but rather may be collected during the Sample Collection Session and/or on other official documentation such as a separate notification form and/or supplementary report.]

7.4.6 At the conclusion of the Sample Collection Session, the Rider and DCO shall sign appropriate documentation to indicate their satisfaction that the documentation accurately reflects the details of the Rider’s Sample Collection Session, including any concerns expressed by the Rider. The Rider’s representative, if present and who witnessed the proceedings, should sign the documentation.
7.4.7 The Rider shall be offered a copy of the records of the Sample Collection Session that have been signed by the Rider whether electronically or otherwise.

8.0 Security/Post-Test Administration

8.1 Objective

To ensure that all Samples collected at the Doping Control Station and Sample collection documentation are securely stored prior to transport from the Doping Control Station.

8.2 General

Post-test administration begins when the Rider has left the Doping Control Station after providing their Sample(s) and ends with preparation of all of the collected Samples and Sample collection documentation for transport.

8.3 Requirements for security/post-test administration

8.3.1 The Sample Collection Authority shall define criteria ensuring that each Sample collected is stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station. At a minimum, these criteria should include detailing and documenting the location where Samples are stored and who has custody of the Samples and/or is permitted access to the Samples. The DCO shall ensure that any Sample is stored in accordance with these criteria.

8.3.2 The Sample Collection Authority shall develop a system for recording the Chain of Custody of the Samples and Sample collection documentation to ensure that the documentation for each Sample is completed and securely handled. This shall include confirming that both the Samples and Sample collection documentation have arrived at their intended destinations. The Laboratory shall report any irregularities to the Testing Authority on the condition of Samples upon arrival in line with the International Standard for Laboratories.

[Comment to 8.3.2: Information as to how a Sample is stored prior to departure from the Doping Control Station may be recorded on, for example, a DCO report.]

8.3.3 The Sample Collection Authority shall develop a system to ensure that, where required, instructions for the type of analysis to be conducted are provided to the Laboratory that will be conducting the analysis. In addition, the Anti-Doping Organization shall provide the Laboratory with information as required under Article 7.4.5 c), f), i), k), l), m), q), r), w), aa), bb) and cc) for result reporting and statistical purposes and include whether Sample retention in accordance with Article 4.7.3. is required.
9.0 Transport of Samples and Documentation

9.1 Objective

a) To ensure that Samples and related documentation arrive at the Laboratory that will be conducting the analysis in proper condition to do the necessary analysis; and

b) To ensure the Sample Collection Session documentation is sent by the DCO to the Testing Authority in a secure and timely manner.

9.2 General

9.2.1 Transport starts when the Samples and related documentation leave the Doping Control Station and ends with the confirmed receipt of the Samples and Sample Collection Session documentation at their intended destinations.

9.2.2 The main activities are arranging for the secure transport of Samples and related documentation to the Laboratory that will be conducting the analysis and arranging for the secure transport of the Sample Collection Session documentation to the Testing Authority.

9.3 Requirements for transport and storage of Samples and documentation

9.3.1 The Sample Collection Authority shall authorize a transport system that ensures Samples and documentation are transported in a manner that protects their integrity, identity and security.

9.3.2 Samples shall always be transported to the Laboratory that will be analyzing the Samples using the Sample Collection Authority’s authorized transport method, as soon as possible after the completion of the Sample Collection Session. Samples shall be transported in a manner which minimizes the potential for Sample degradation due to factors such as time delays and extreme temperature variations.

[Comment to 9.3.2: Anti-Doping Organizations should discuss transportation requirements for particular missions (e.g., where the Sample has been collected in less than hygienic conditions, or where delays may occur in transporting the Samples to the Laboratory) with the Laboratory that will be analyzing the Samples, to establish what is necessary in the particular circumstances of such mission (e.g., refrigeration or freezing of the Samples).]

9.3.3 Documentation identifying the Rider shall not be included with the Samples or documentation sent to the Laboratory that will be analyzing the Samples.

9.3.4 The DCO shall send all relevant Sample Collection Session documentation to the Sample Collection Authority, using the Sample Collection Authority’s authorized transport method (which may include electronic transmission), as soon as practicable after the completion of the Sample Collection Session.

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

9.3.6 Documentation related to a Sample Collection Session and/or an anti-doping rule violation shall be stored by the Testing Authority and/or the Sample Collection Authority for the period and other requirements specified in the International Standard for the Protection of Privacy and Personal Information.

[Comment to 9.3: While the requirements for transport and storage of Samples and documentation herein apply equally to all urine, blood and blood Athlete Biological Passport Samples, additional requirements for standard blood can be found in Annex D - Collection of Blood Samples and additional requirements for the transportation of Blood Samples for the Athlete Biological Passport can be found in Annex I - Collection, Storage and Transport of Blood Rider Biological Passport Samples.]

10.0 Ownership of Samples

10.1 Samples collected from a Rider are owned by the Testing Authority for the Sample Collection Session in question.

10.2 The Testing Authority may transfer ownership of the Samples to the Results Management Authority or to another Anti-Doping Organization upon request.

10.3 WADA may assume Testing Authority in certain circumstances in accordance with the Code and the International Standard for Laboratories.

10.4 Where the Testing Authority is not the Passport Custodian, the Testing Authority that initiated and directed the Sample collection maintains the responsibility for additional Analytical Testing of the Sample. This includes the performance of further Confirmation Procedure(s) upon requests generated automatically by the Adaptive Model of the Athlete Biological Passport in ADAMS (e.g., GC/C/IRMS triggered by elevated T/E) or a request by the APMU (e.g., GC/C/IRMS requested due to abnormal secondary Markers of the urinary “longitudinal steroid profile” or ESA analysis tests due to suspicious haematological Marker values).
PART THREE: STANDARDS FOR INTELLIGENCE GATHERING AND INVESTIGATIONS

11.0 Gathering, assessment and use of intelligence

11.1 Objective

The UCI shall ensure it is able to obtain, assess and process anti-doping intelligence from all available sources, to help deter and detect doping, to inform the development of an effective, intelligent and proportionate Test Distribution Plan, to plan Target Testing, and to conduct investigations as required by UCI ADR Article 5.7. The objective of Article 11 is to establish standards for the efficient and effective gathering, assessment and processing of such intelligence for these purposes.

[Comment to 11.1: While Testing will always remain an integral part of the anti-doping effort, Testing alone is not sufficient to detect and establish to the requisite standard all of the anti-doping rule violations identified in the UCI ADR. In particular, while Use of Prohibited Substances and Prohibited Methods may often be uncovered by analysis of Samples, the other UCI ADR anti-doping rule violations (and, often, Use) can usually only be effectively identified and pursued through the gathering and investigation of ‘non-analytical’ anti-doping intelligence and information. This means that Anti-Doping Organizations need to develop efficient and effective intelligence-gathering and investigation functions. WADA has devised Intelligence and Investigations Guidelines with case studies to assist Anti-Doping Organizations to better understand the types of ‘non-analytical’ intelligence that may be available and to provide support and guidance to Signatories in their efforts to comply with the Code and the International Standards.]

11.2 Gathering of anti-doping intelligence

11.2.1 The UCI shall do everything in their power to ensure that they are able to capture or receive anti-doping intelligence from all available sources, including, but not limited to, Riders and Rider Support Personnel (including Substantial Assistance provided pursuant to UCI ADR Article 10.7.1) and members of the public (e.g., by means of a confidential telephone hotline), Sample Collection Personnel (whether via mission reports, incident reports, or otherwise), Laboratories, pharmaceutical companies, other Anti-Doping Organizations, WADA, National Federations, law enforcement, other regulatory and disciplinary bodies, and the media (in all its forms).

11.2.2 The UCI shall have policies and procedures in place to ensure that anti-doping intelligence captured or received is handled securely and confidentially, that sources of intelligence are protected, that the risk of leaks or inadvertent disclosure is properly addressed, and that intelligence shared with them by law enforcement, other relevant authorities and/or other third parties, is processed, used and disclosed only for legitimate anti-doping purposes.

11.3 Assessment and analysis of anti-doping intelligence

11.3.1 The UCI shall ensure that it is able to assess all anti-doping intelligence upon receipt for relevance, reliability and accuracy, taking into account the nature of the source and the circumstances in which the intelligence has been captured or received.
[Comment to 11.3.1: There are various models that may be used as the basis for the assessment and analysis of anti-doping intelligence. There are also databases and case management systems that may be used to assist in the organization, processing, analysis and cross-referencing of such intelligence.]

11.3.2 All anti-doping intelligence captured or received by the UCI should be collated and analyzed to establish patterns, trends and relationships that may assist the UCI in developing an effective anti-doping strategy and/or in determining (where the intelligence relates to a particular case) whether there is reasonable cause to suspect that an anti-doping rule violation may have been committed, such that further investigation is warranted in accordance with Article 12 and the UCI Results Management Regulations.

11.4 Intelligence outcomes

11.4.1 Anti-doping intelligence shall be used to assist for the following purposes (without limitation): developing, reviewing and revising the Test Distribution Plan and/or determining when to conduct Target Testing, in each case in accordance with Article 4 and/or to create targeted intelligence files to be referred for investigation in accordance with Article 12.

11.4.2 The UCI should also develop and implement policies and procedures for the sharing of intelligence (where appropriate, and subject to applicable law) with other Anti-Doping Organizations (e.g., if the intelligence relates to Riders or other Persons under their authority) and/or law enforcement and/or other relevant regulatory or disciplinary authorities (e.g., if the intelligence suggests the possible commission of a crime or regulatory offence or breach of other rules of conduct).

11.4.3 The UCI should develop and implement policies and procedures to facilitate and encourage whistleblowers as outlined within WADA’s Whistleblower policy available on WADA’s website.

12.0 Investigations

12.1 Objective

The objective of Article 12 is to establish standards for the efficient and effective conduct of investigations that the UCI must implement under the UCI ADR, including but not limited to:

a) The investigation of Atypical Findings, Atypical Passport Findings and Adverse Passport Findings, in accordance with the UCI Results Management Regulations;

b) The investigation of any other analytical or non-analytical information and/or intelligence where there is reasonable cause to suspect that an anti-doping rule violation may have been committed, in accordance with the UCI Results Management Regulations;
c) The investigation of the circumstances surrounding and/or arising from an Adverse Analytical Finding to gain further intelligence on other Persons or methods involved in doping (e.g., interviewing the relevant Rider); and

d) Where an anti-doping rule violation by a Rider is established, the investigation into whether Rider Support Personnel or other Persons may have been involved in that violation, in accordance with UCI ADR Article 21.

12.1.1 In each case, the purpose of the investigation is to achieve one of the following either:

a) to rule out the possible violation/involvement in a violation;

b) to develop evidence that supports the initiation of an anti-doping rule violation proceeding in accordance with UCI ADR Article 8; or

c) to provide evidence of a breach of the UCI ADR, UCI Regulations or applicable International Standard.

12.2 Investigating possible anti-doping rule violations

12.2.1 The UCI shall ensure that they are able to investigate confidentially and effectively any analytical or non-analytical information or intelligence that indicates there is reasonable cause to suspect that an anti-doping rule violation may have been committed, in accordance with the UCI Results Management Regulations.

[Comment to 12.2.1: Where an attempt to collect a Sample from a Rider produces information indicating a possible evasion of Sample collection and/or refusal or failure to submit to Sample collection after due notification, in violation of UCI ADR Article 2.3, or possible Tampering or Attempted Tampering with Doping Control, in violation of UCI ADR Article 2.5, the matter shall be investigated in accordance with the UCI Results Management Regulations.]

12.2.2 The UCI shall gather and record all relevant information and documentation as soon as possible, in order to develop that information and documentation into admissible and reliable evidence in relation to the possible anti-doping rule violation, and/or to identify further lines of enquiry that may lead to the discovery of such evidence. The UCI shall ensure that investigations are conducted fairly, objectively and impartially at all times. The conduct of investigations, the evaluation of information and evidence identified in the course of that investigation, and the outcome of the investigation, shall be fully documented.

[Comment to 12.2.2: It is important that information is provided to and gathered by the investigating Anti-Doping Organization as quickly as possible and in as much detail as possible because the longer the period between the incident and investigation, the greater the risk that certain evidence may no longer exist. Investigations should not be conducted with a closed mind, pursuing only one outcome (e.g., institution of anti-doping rule violation proceedings against a Rider or other Person). Rather, the investigator(s) should be open to and should consider all possible outcomes at each keystage of the investigation, and should seek to gather not only any available evidence indicating that there is a case to answer but also any available evidence indicating that there is no case to answer.]
12.2.3 The UCI should make use of all investigative resources reasonably available to it to conduct its investigation. This may include obtaining information and assistance from law enforcement and other relevant authorities, including other regulators. However, the UCI should also make full use of all investigative resources at its own disposal, including the Athlete Biological Passport program, investigative powers conferred under applicable rules (e.g., the power to demand the production of relevant documents and information, and the power to interview both potential witnesses and the Rider or other Person who is the subject of the investigation), and the power to suspend a period of Ineligibility imposed on a Rider or other Person in return for the provision of Substantial Assistance in accordance with UCI ADR Article 10.7.1.

12.2.4 Riders and Rider Support Personnel are required under UCI ADR Article 21 to cooperate with investigations conducted by the UCI. If they fail to do so, disciplinary action should be taken against them under applicable rules. If their conduct amounts to subversion of the investigation process (e.g., by providing false, misleading or incomplete information, and/or by destroying potential evidence), the UCI should bring proceedings against them for violation of UCI ADR Article 2.5 (Tampering or Attempted Tampering).

12.3 Investigation outcomes

12.3.1 The UCI shall come to a decision efficiently and without undue delay as to whether proceedings should be brought against the Rider or other Person asserting commission of an anti-doping rule violation. As set out in UCI ADR Article 13.3, if the UCI fails to make such decision within a reasonable deadline set by WADA, WADA may elect to appeal directly to CAS as if the UCI had rendered a decision finding that no anti-doping rule violation has been committed. As noted in the comment to UCI ADR Article 13.3, however, before taking such action WADA will consult with the UCI and give it an opportunity to explain why it has not yet rendered a decision.

12.3.2 Where the UCI concludes based on the results of its investigation that proceedings should be brought against the Rider or other Person asserting commission of an anti-doping rule violation, it shall give notice of that decision in the manner set out in the UCI Results Management Regulations and shall bring forward the proceedings against the Rider or other Person in question in accordance with UCI ADR Article 8.

12.3.3 Where the UCI concludes, based on the results of its investigation, that proceedings should not be brought forward against the Rider or other Person asserting commission of an anti-doping rule violation:

12.3.3.1 It shall notify WADA and the Rider’s or other Person’s National Anti-Doping Organization in writing of that decision, with reasons, in accordance with UCI ADR Article 14.2.4.

12.3.3.2 It shall provide such other information about the investigation as is reasonably required by WADA and/or National Anti-Doping Organization in order to determine whether to appeal against that decision.
12.3.3.3 In any event, it shall consider whether any of the intelligence obtained and/or lessons learned during the investigation should be used to inform the development of its Test Distribution Plan and/or to plan Target Testing, and/or should be shared with any other body in accordance with Article 11.4.2.
ANNEX A - MODIFICATIONS FOR RIDERS WITH IMPAIRMENTS

A.1. Objective

To ensure that the particular needs of Riders with impairments are considered in relation to the provision of a Sample, where possible, without compromising the integrity of the Sample Collection Session.

A.2. Scope

Determining whether modifications are necessary starts with identification of situations where Sample collection involves Riders with impairments and ends with modifications to Sample collection procedures and equipment where necessary and where possible.

A.3. Responsibility

A.3.1 The Testing Authority or Sample Collection Authority (as applicable) has responsibility for ensuring, when possible, that the DCO has any information and Sample Collection Equipment necessary to conduct a Sample Collection Session with an Rider with an impairment, including details of such impairment that may affect the procedure to be followed in conducting a Sample Collection Session.

A.3.2 The DCO has responsibility for Sample collection.

A.4. Requirements

A.4.1 All aspects of notification and Sample collection for Riders with impairments shall be carried out in accordance with the standard notification and Sample collection procedures unless modifications are necessary due to the Rider's impairment.

[Comment to A.4.1: The Testing Authority in the case of a Rider with an intellectual impairment, shall decide whether to obtain consent to Testing from their representative and inform the Sample Collection Authority and Sample Collection Personnel.]

A.4.2 In planning or arranging Sample collection, the Sample Collection Authority and DCO shall consider whether there will be any Sample collection for Riders with impairments that may require modifications to the standard procedures for notification or Sample collection, including Sample Collection Equipment and Doping Control Station.

A.4.3 The Sample Collection Authority and DCO shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security or integrity of the Sample. The DCO shall consult the Rider in order to determine what modifications may be necessary for the Rider's impairment. All such modifications shall be documented.

A.4.4 An Rider with an intellectual, physical or sensorial impairment may be assisted by the Rider's representative or Sample Collection Personnel during the Sample Collection Session where authorized by the Rider and agreed to by the DCO.
A.4.5 The DCO may decide that alternative Sample Collection Equipment or an alternative Doping Control Station will be used when required to enable the Rider to provide the Sample, as long as the Sample’s identity, security and integrity will not be affected.

A.4.6 Riders who are using urine collection or drainage systems are required to eliminate existing urine from such systems before providing a urine Sample for analysis. Where possible, the existing urine collection or drainage system should be replaced with a new, unused catheter or drainage system prior to collection of the Sample. The catheter or drainage system is not a required part of Sample Collection Equipment to be provided by the Sample Collection Authority; instead it is the responsibility of the Rider to have the necessary equipment available for this purpose.

A.4.7 For Riders with visual or intellectual impairments, the DCO and/or Rider may determine if they shall have a representative present during the Sample Collection Session. During the Sample Collection Session, a representative of the Rider and/or a representative of the DCO may observe the witnessing DCO/Chaperone while the Rider is passing the urine Sample. This representative or these representatives may not directly observe the passing of the urine Sample, unless requested to do so by the Rider.

A.4.8 The DCO shall record modifications made to the standard Sample collection procedures for Riders with impairments, including any applicable modifications specified in the above actions.
ANNEX B - MODIFICATIONS FOR RIDERS WHO ARE MINORS

B.1. Objective

To ensure that the particular needs of Riders who are Minors are met in relation to the provision of a Sample, where possible, without compromising the integrity of the Sample Collection Session.

B.2. Scope

Determining whether modifications are necessary starts with identification of situations where Sample collection involves Riders who are Minors and ends with modifications to Sample collection procedures where necessary and where possible.

B.3. Responsibility

B.3.1 The Testing Authority has responsibility for ensuring, when possible, that the DCO has any information necessary to conduct a Sample Collection Session with a Rider who is a Minor. This includes confirming wherever necessary that the necessary parental consent for Testing any participating Rider who is a Minor.

B.3.2 The DCO has responsibility for Sample collection.

B.4. Requirements

B.4.1 All aspects of notification and Sample collection for Riders who are Minors shall be carried out in accordance with the standard notification and Sample collection procedures unless modifications are necessary due to the Rider being a Minor.

B.4.2 In planning or arranging Sample collection, the Sample Collection Authority and DCO shall consider whether there will be any Sample collection for Riders who are Minors that may require modifications to the standard procedures for notification or Sample collection.

B.4.3 The Sample Collection Authority and the DCO shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security or integrity of the Sample. All such modifications shall be documented.

B.4.4 Riders who are Minors should be notified in the presence of a Rider representative (who is not a Minor) in addition to the DCO/Chaperone, and may choose to be accompanied by a representative throughout the entire Sample Collection Session. Even if the Minor declines a representative, the Sample Collection Authority or DCO, as applicable, shall consider whether another third-party ought to be present during notification of the Rider.

B.4.5 Should a Rider who is a Minor decline to have a representative present during the collection of a Sample, this shall be clearly documented by the DCO. This does not invalidate the Test but shall be recorded.
B.4.6 The DCO shall determine who may be present during the collection of a Sample from a Rider who is a Minor, in addition to a representative of the DCO/Chaperone who shall be present. A representative of the Minor may be present during Sample provision (including observing the DCO when the Minor is passing the urine Sample, but not directly observing the passing of the urine Sample unless requested to do so by the Minor). The DCO's/Chaperone's representative shall only observe the DCO/Chaperone and shall not directly observe the passing of the Sample.

B.4.7 The preferred venue for all Out-of-Competition Testing of a Minor is a location where the presence of an Rider representative (who is not a Minor) is most likely to be available for the duration of the Sample Collection Session, e.g., a training venue.

B.4.8 The Testing Authority or Sample Collection Authority (as applicable) shall consider the appropriate course of action when no Rider representative (who is not a Minor) is present at the Testing of an Rider who is a Minor (for example by ensuring that more than one Sample Collection Personnel is present during a Sample Collection Session of such Minor Rider) and shall accommodate the Minor in locating a representative if requested to do so by the Minor.
ANNEX C - COLLECTION OF URINE SAMPLES

C.1. Objective

To collect a Rider’s urine Sample in a manner that ensures:

a) Consistency with relevant principles of internationally recognized standard precautions in healthcare settings so that the health and safety of the Rider and Sample Collection Personnel are not compromised;

b) The Sample meets the Suitable Specific Gravity for Analysis and the Suitable Volume of Urine for Analysis. Failure of a Sample to meet these requirements in no way invalidates the suitability of the Sample for analysis. The determination of a Sample’s suitability for analysis is the decision of the relevant Laboratory, in consultation with the Testing Authority for the Sample Collection Session in question;

[Comment to C.1.b): The measurements taken in the field for Suitable Specific Gravity for Analysis and the Suitable Volume of Urine for Analysis are preliminary in nature, to assess whether the Sample meets the requirements for analysis. It is possible there could be discrepancies between the field readings and the final Laboratory readings due to the precision of the Laboratory equipment. The Laboratory reading will be considered final, and such discrepancies (if any) shall not constitute a basis for Riders to seek to invalidate or otherwise challenge an Adverse Analytical Finding.]

c) the Sample has not been manipulated, substituted, contaminated or otherwise tampered with in any way;

d) the Sample is clearly and accurately identified; and

e) the Sample is securely sealed in a Tamper Evident kit.

C.2. Scope

The collection of a urine Sample begins with ensuring the Rider is informed of the Sample collection requirements and ends with discarding any residual urine remaining at the end of the Rider’s Sample Collection Session.

C.3. Responsibility

C.3.1 The DCO has the responsibility for ensuring that each Sample is properly collected, identified and sealed.

C.3.2 The DCO/Chaperone has the responsibility for directly witnessing the passing of the urine Sample.

C.4. Requirements

C.4.1 The DCO shall ensure that the Rider is informed of the requirements of the Sample Collection Session, including any modifications as provided for in Annex A – Modifications for Riders with Impairments.
C.4.2 The DCO shall ensure that the Rider is offered a choice of Sample collection vessels for collecting the Sample. If the nature of an Rider's impairment requires that they must use additional or other equipment as provided for in Annex A - Modifications for Riders with Impairments, the DCO shall inspect that equipment to ensure that it will not affect the identity or integrity of the Sample.

C.4.3 When the Rider selects a collection vessel, and for selection of all other Sample Collection Equipment that directly holds the urine Sample, the DCO will instruct the Rider to check that all seals on the selected equipment are intact and the equipment has not been tampered with. If the Rider is not satisfied with the selected equipment, they may select another. If the Rider is not satisfied with any of the equipment available for selection, this shall be recorded by the DCO. If the DCO does not agree with the Rider that all of the equipment available for the selection is unsatisfactory, the DCO shall instruct the Rider to proceed with the Sample Collection Session. If the DCO agrees with the Rider that all of the equipment available for the selection is unsatisfactory, the DCO shall terminate the Sample Collection Session and this shall be recorded by the DCO.

C.4.4 The Rider shall retain control of the collection vessel and any Sample provided until the Sample (or partial Sample) is sealed, unless assistance is required by reason of a Rider's impairment as provided for in Annex A - Modifications for Riders with Impairments. Additional assistance may be provided in exceptional circumstances to any Rider by the Rider's representative or Sample Collection Personnel during the Sample Collection Session where authorized by the Rider and agreed to by the DCO.

C.4.5 The DCO/Chaperone who witnesses the passing of the Sample shall be of the same gender as the Rider providing the Sample and where applicable, based on the gender of the Event the Rider competed in.

C.4.6 The DCO/Chaperone shall, where practicable, ensure the Rider thoroughly washes their hands with water only prior to the provision of the Sample or wears suitable (e.g., disposable) gloves during provision of the Sample.

C.4.7 The DCO/Chaperone and Rider shall proceed to an area of privacy to collect a Sample.

C.4.8 The DCO/Chaperone shall ensure an unobstructed view of the Sample leaving the Rider's body and shall continue to observe the Sample after provision until the Sample is securely sealed. In order to ensure a clear and unobstructed view of the passing of the Sample, the DCO/Chaperone shall instruct the Rider to remove or adjust any clothing which restricts the DCO's/Chaperone's clear view of Sample provision.

C.4.9 The DCO/Chaperone shall ensure that urine passed by the Rider is collected in the collection vessel to its maximum capacity and thereafter the Rider is encouraged to fully empty their bladder into the toilet. The DCO shall verify, in full view of the Rider, that the Suitable Volume of Urine for Analysis has been provided.

C.4.10 Where the volume of urine provided by the Rider is insufficient, the DCO shall follow the partial Sample collection procedure set out in Annex E - Urine Samples - Insufficient Volume.
C.4.11 Once the volume of urine provided by the Rider is sufficient, the DCO shall instruct the Rider to select a Sample collection kit containing A and B bottles or containers in accordance with Annex C.4.3.

C.4.12 Once a Sample collection kit has been selected, the DCO and the Rider shall check that all Sample code numbers match and that this code number is recorded accurately by the DCO on the Doping Control form. If the Rider or DCO finds that the numbers are not the same, the DCO shall instruct the Rider to choose another kit in accordance with Annex C.4.3. The DCO shall record the matter.

C.4.13 The Rider shall pour the minimum Suitable Volume of Urine for Analysis into the B bottle or container (to a minimum of 30 mL), and then pour the remainder of the urine into the A bottle or container (to a minimum of 60 mL). The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum. If more than the minimum Suitable Volume of Urine for Analysis has been provided, the DCO shall ensure that the Rider fills the A bottle or container to capacity as per the recommendation of the equipment manufacturer. Should there still be urine remaining, the DCO shall ensure that the Rider fills the B bottle or container to capacity as per the recommendation of the equipment manufacturer. The DCO shall instruct the Rider to ensure that a small amount of urine is left in the collection vessel, explaining that this is to enable the DCO to test the residual urine in accordance with Annex C.4.15.

C.4.14 The Rider shall then seal the A and B bottles or containers as directed by the DCO. The DCO shall check, in full view of the Rider, that the bottles or containers have been properly sealed.

C.4.15 The DCO shall test the residual urine in the collection vessel to determine if the Sample has a Suitable Specific Gravity for Analysis. If the DCO’s field reading indicates that the Sample does not have a Suitable Specific Gravity for Analysis, then the DCO shall follow Annex F - Urine Samples that do not meet the requirement for Suitable Specific Gravity for Analysis.

C.4.16 Urine should only be discarded when both the A and B bottles or containers have been sealed and the residual urine has been tested in accordance with Annex C.4.15.

C.4.17 The Rider shall be given the option of witnessing the discarding of any residual urine that will not be sent for analysis.
ANNEX D - COLLECTION OF BLOOD SAMPLES

D.1. Objective

To collect a Rider’s blood Sample in a manner that ensures:

a) Consistency with relevant principles of internationally recognized standard precautions in healthcare settings, and is collected by a suitably qualified Person, so that the health and safety of the Rider and Sample Collection Personnel are not compromised;

b) The Sample is of a quality and quantity that meets the relevant analytical guidelines;

c) The Sample has not been manipulated, substituted, contaminated or otherwise tampered with in any way;

d) The Sample is clearly and accurately identified; and

e) The Sample is securely sealed in a Tamper Evident kit.

D.2. Scope

The collection of a blood Sample begins with ensuring the Rider is informed of the Sample collection requirements and ends with properly storing the Sample prior to transport to the Laboratory that will be analyzing the Sample.

D.3. Responsibility

D.3.1 The DCO has the responsibility for ensuring that:

a) Each Sample is properly collected, identified and sealed; and

b) All Samples have been properly stored and dispatched in accordance with the relevant analytical guidelines.

D.3.2 The BCO has the responsibility for collecting the blood Sample, answering related questions during the provision of the Sample, and proper disposal of used blood sampling equipment not required to complete the Sample Collection Session.

D.4. Requirements

D.4.1 Procedures involving blood shall be consistent with the local standards and regulatory requirements regarding precautions in healthcare settings where those standards and requirements exceed the requirements set out below.

D.4.2 Blood Sample Collection Equipment shall consist of:

a) Collection tube(s) which meet the requirements of Article 6.3.4; and/or

b) A and B bottles/containers for the secure transportation of collection tubes; and/or
c) Unique labels for collection tubes with a Sample code number; and/or

d) Such other types of equipment to be used in connection with the collection of blood as set out in Article 6.3.4 and WADA’s Sample Collection Guidelines.

D.4.3 The DCO shall ensure that the Rider is properly notified of the requirements of the Sample collection, including any modifications as provided for in Annex A - Modifications for Riders with Impairments.

D.4.4 The DCO/Chaperone and Rider shall proceed to the area where the Sample will be provided.

D.4.5 The DCO/BCO shall ensure the Rider is offered comfortable conditions and shall instruct the Rider to remain in a normal seated position with feet on the floor for at least 10 minutes prior to providing a Sample.

D.4.6 The DCO/BCO shall instruct the Rider to select the Sample collection kit(s) required for collecting the Sample and to check that the selected equipment has not been tampered with and the seals are intact. If the Rider is not satisfied with a selected kit, they may select another. If the Rider is not satisfied with any kits and no others are available, this shall be recorded by the DCO. If the DCO does not agree with the Rider that all of the available kits are unsatisfactory, the DCO shall instruct the Rider to proceed with the Sample Collection Session. If the DCO agrees with the Rider that all available kits are unsatisfactory, the DCO shall terminate the Sample Collection Session and this shall be recorded by the DCO.

D.4.7 When a Sample collection kit has been selected, the DCO and the Rider shall check that all Sample code numbers match and that this Sample code number is recorded accurately by the DCO on the Doping Control form. If the Rider or DCO finds that the numbers are not the same, the DCO shall instruct the Rider to choose another kit. The DCO shall record the matter.

D.4.8 The BCO shall assess the most suitable location for venipuncture that is unlikely to adversely affect the Rider or their performance. This should be the non-dominant arm, unless the BCO assesses the other arm to be more suitable. The BCO shall clean the skin with a sterile disinfectant wipe or swab and, if required apply a tourniquet. The BCO shall take the blood Sample from a superficial vein into the tube. The tourniquet, if applied, shall be immediately removed after the venipuncture has been made.

D.4.9 The amount of blood removed shall be adequate to satisfy the relevant analytical requirements for the Sample analysis to be performed, as set out in WADA’s Sample Collection Guidelines.

D.4.10 If the amount of blood that can be removed from the Rider at the first attempt is insufficient, the BCO shall repeat the procedure up to a maximum of three (3) attempts in total. Should all three (3) attempts fail to produce a sufficient amount of blood, then the BCO shall inform the DCO. The DCO shall terminate the blood Sample collection and record the reasons for terminating.

D.4.11 The BCO shall apply a dressing to the puncture site(s).
D.4.12 The BCO shall dispose of used blood sampling equipment not required to complete the Sample Collection Session in accordance with the required local standards for handling blood.

D.4.13 If the Sample requires further on-site processing, such as centrifugation or separation of serum (for example, in the case of a Sample intended for use in connection with the Athlete Biological Passport program), after the blood flow into the tube ceases, the BCO shall remove the tube from the holder and homogenize the blood in the tube manually by inverting the tube gently at least three (3) times. The Rider shall remain in the blood collection area and observe their Sample until it is sealed in a Tamper-Evident kit.

D.4.14 The Rider shall seal their Sample into a Tamper Evident kit as directed by the DCO. In full view of the Rider, the DCO shall check that the sealing is satisfactory. The Rider and the BCO/DCO shall sign the Doping Control form.

D.4.15 The sealed Sample shall be stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station to the Laboratory that will be analyzing the Sample.

D.4.16 Blood Samples shall be transported in accordance with Article 9 and WADA’s Sample Collection Guidelines. The transport procedure is the responsibility of the DCO. Blood Samples shall be transported in a device that maintains the integrity of Samples over time, in a cool and constant environment, measured by a temperature data logger notwithstanding changes in external temperature. The transport device shall be transported by secure means using a method authorized by the Testing Authority or Sample Collection Authority.

[Comment to D.4.: The requirements of this Annex apply to blood Samples collected for the purposes of standard analysis as well as for Athlete Biological Passport purposes. Additional requirements applicable only to the Athlete Biological Passport are contained in Annex I.]
ANNEX E - URINE SAMPLES - INSUFFICIENT VOLUME

E.1. Objective

To ensure that where a Suitable Volume of Urine for Analysis is not provided, appropriate procedures are followed.

E.2. Scope

The procedure begins with informing the Rider that the Sample that they have provided is not of Suitable Volume of Urine for Analysis and ends with the Rider’s provision of a Sample of sufficient volume.

E.3. Responsibility

The DCO has the responsibility for declaring the Sample volume insufficient and for collecting the additional Sample(s) to obtain a combined Sample of sufficient volume.

E.4. Requirements

E.4.1 If the Sample collected is of insufficient volume, the DCO shall inform the Rider that a further Sample shall be collected to meet the Suitable Volume of Urine for Analysis requirements.

E.4.2 The DCO shall instruct the Rider to select partial Sample Collection Equipment in accordance with Annex C.4.3.

E.4.3 The DCO shall then instruct the Rider to open the relevant equipment, pour the insufficient Sample into the new container (unless the Sample Collection Authority’s procedures permit retention of the insufficient Sample in the original collection vessel) and seal it using a partial Sample sealing system, as directed by the DCO. The DCO shall check, in full view of the Rider, that the container (or original collection vessel, if applicable) has been properly sealed.

E.4.4 The DCO shall record the partial Sample number and the volume of the insufficient Sample on the Doping Control form and confirm its accuracy with the Rider. The DCO shall retain control of the sealed partial Sample.

E.4.5 While waiting to provide an additional Sample, the Rider shall remain under continuous observation and be given the opportunity to hydrate in accordance with Article 7.3.3.

E.4.6 When the Rider is able to provide an additional Sample, the procedures for collection of the Sample shall be repeated as prescribed in Annex C - Collection of Urine Samples, until a sufficient volume of urine will be provided by combining the initial and additional Sample(s).

E.4.7 Following each Sample provided, the DCO and Rider shall check the integrity of the seal(s) on the container(s) containing the previously provided partial Sample(s). Any irregularity with the integrity of the seal(s) will be recorded by the DCO and investigated according to Annex A – Review of a Possible Failure to Comply of the International Standard for Results.
Management. The DCO may request that an additional Sample is collected from the Rider. A refusal to provide a further Sample if requested, where the minimum requirements for Sample collection volume are not met, shall be recorded by the DCO and dealt with as a potential Failure to Comply in accordance with the International Standard for Results Management.

E.4.8 The DCO shall then direct the Rider to break the seal(s) and combine the Samples, ensuring that additional Samples are added in the order they were collected to the original partial Sample until, as a minimum, the requirement for Suitable Volume of Urine for Analysis is met.

E.4.9 The DCO and the Rider shall then continue with Annex C.4.12 or Annex C.4.14 as appropriate.

E.4.10 The DCO shall check the residual urine in accordance with Annex C.4.15 to ensure that it meets the requirement for Suitable Specific Gravity for Analysis in accordance with Annex F.

E.4.11 Urine should only be discarded when both the A and B bottles or containers have been filled to capacity in accordance with Annex C.4.14 and the residual urine has been checked in accordance with Annex C.4.15. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum.
ANNEX F - URINE SAMPLES THAT DO NOT MEET THE REQUIREMENT FOR SUITABLE SPECIFIC GRAVITY FOR ANALYSIS

F.1. Objective

To ensure that when the urine Sample does not meet the requirement for Suitable Specific Gravity for Analysis, appropriate procedures are followed.

F.2. Scope

The procedure begins with the DCO informing the Rider that a further Sample is required and ends with the collection of a Sample that meets the requirements for Suitable Specific Gravity for Analysis, or appropriate follow-up action by the Testing Authority if required.

F.3. Responsibility

F.3.1 The Sample Collection Authority is responsible for establishing procedures to ensure that a suitable Sample is collected, if the original Sample collected does not meet the requirement for Suitable Specific Gravity for Analysis.

F.3.2 The DCO is responsible for collecting additional Samples until a suitable Sample is obtained.

F.4. Requirements

F.4.1 The DCO shall determine that the requirements for Suitable Specific Gravity for Analysis have not been met.

F.4.2 The DCO shall inform the Rider that they are required to provide a further Sample.

F.4.3 While waiting to provide a further Sample, the Rider shall remain under continuous observation and shall be advised not to hydrate, since this may delay the production of a suitable Sample. In appropriate circumstances, further hydration after the provision of an unsuitable Sample may be pursued as a violation of Code Article 2.5.

[Comment to F.4.3: It is the responsibility of the Rider to provide a Sample with a Suitable Specific Gravity for Analysis. Sample Collection Personnel shall advise the Rider and Rider Support Personnel as appropriate of this requirement at the time of notification in order to discourage excessive hydration prior to the provision of the Rider's first Sample. If the Rider's first Sample does not have a Suitable Specific Gravity for Analysis, they shall be advised to not hydrate any further until a Sample with a Suitable Specific Gravity for Analysis is provided.]

F.4.4 When the Rider is able to provide an additional Sample, the DCO shall repeat the procedures for Sample collection set out in Annex C - Collection of Urine Samples.

F.4.5 The DCO shall continue to collect additional Samples until the requirement for Suitable Specific Gravity for Analysis is met, or until the DCO determines that there are exceptional circumstances which mean it is impossible to continue with the Sample Collection Session. Such exceptional circumstances shall be documented accordingly by the DCO.
[Comment to F.4.5: Sample Collection Authorities and DCOs should ensure they have adequate equipment to comply with the requirements of Annex F. The DCO should wait as long as necessary to collect such additional Sample(s) with a Suitable Specific Gravity for Analysis. The Testing Authority may specify procedures to be followed by the DCO in determining whether exceptional circumstances exist that make it impossible to continue with the Sample Collection Session.]

F.4.6 The DCO shall record that the Samples collected belong to a single Rider and the order in which the Samples were provided.

F.4.7 The DCO shall then continue with the Sample Collection Session in accordance with Annex C.4.17.

F.4.8 The DCO shall send to the Laboratory for analysis all Samples which were collected, irrespective of whether or not they meet the requirement for Suitable Specific Gravity for Analysis.

F.4.9 When two (2) Samples are collected from a Rider, during the same Sample Collection Session, both Samples shall be analyzed by the Laboratory. In cases where three (3) or more Samples are collected during the same Sample Collection Session, the Laboratory shall prioritize and analyze the first and the subsequent collected Sample with the highest specific gravity, as recorded on the Doping Control form. The Laboratory, in conjunction with the Testing Authority, may determine if the other Samples need to be analyzed.
ANNEX G - SAMPLE COLLECTION PERSONNEL REQUIREMENTS

G.1. Objective

To ensure that Sample Collection Personnel have no conflict of interest and have adequate qualifications and experience to conduct Sample Collection Sessions.

G.2. Scope

Sample Collection Personnel requirements start with the development of the necessary competencies for Sample Collection Personnel and end with the provision of identifiable accreditation.

G.3. Responsibility

The Sample Collection Authority has the responsibility for all activities defined in this Annex.

G.4. Requirements - Qualifications and Training

G.4.1 The Sample Collection Authority shall:

a) Determine the necessary competence, eligibility and qualification requirements for the positions of DCO, Chaperone and BCO; and

b) Develop duty statements for all Sample Collection Personnel that outline their respective responsibilities. As a minimum:

i) Sample Collection Personnel shall not be Minors; and

ii) BCOs shall have adequate qualifications and practical skills required to perform blood collection from a vein.

G.4.2 The Sample Collection Authority shall ensure that Sample Collection Personnel sign an agreement dealing with conflicts of interest, confidentiality and code of conduct.

G.4.3 Sample Collection Personnel shall not be appointed to a Sample Collection Session where they have an interest in the outcome of a Sample Collection Session. At a minimum, Sample Collection Personnel are deemed to have such an interest if they are:

a) Involved in the participation or administration of the sport at the level for which Testing is being conducted;

b) Related to, or involved in the personal affairs of, any Rider who might provide a Sample at that Sample Collection Session;

c) Have family members actively involved in the daily activities of the sport at the level for which Testing is being conducted (e.g., administration, coaching, training, officiating, competitor, medical);
d) Are engaged in business with, have a financial interest in or personal stake in a sport that has Riders who are subject to Testing;

e) Are drawing or likely to draw personal and/or professional gain or advantage directly or indirectly from a third party due to their own decisions taken in the fulfillment of their official functions; and/or

f) Appear to have private or personal interests that detract from their ability to perform their duties with integrity in an independent and purposeful manner.

**G.4.4** The Sample Collection Authority shall establish a system that ensures that Sample Collection Personnel are adequately trained to carry out their duties.

**G.4.4.1** The training program for BCOs shall include, as a minimum, studies of all relevant requirements of the Testing process and familiarization with relevant standard precautions in healthcare settings.

**G.4.4.2** The training program for DCOs shall include, as a minimum:

- a) Comprehensive theoretical training in those Doping Control activities relevant to the DCO position;

- b) Observation of all Sample Collection Session activities that are the responsibility of the DCO as set out in this International Standard for Testing and Investigations, preferably on-site; and

- c) The satisfactory performance of one complete Sample Collection Session on-site under observation by a qualified DCO or similar. The requirement related to the actual passing of a urine Sample shall not be included in the on-site observations.

**G.4.4.3** The training program for Chaperones shall include all relevant requirements of the Sample Collection Session including but not limited to situations dealing with Failure to Comply, Riders who are Minors and/or Riders with impairments.

**G.4.4.4** A Sample Collection Authority that collects Samples from Riders who are of a different nationality to its Sample Collection Personnel (e.g., at an International Event or in an Out-of-Competition context) should ensure that such Sample Collection Personnel are adequately trained to carry out their duties in respect of such Riders.

**G.4.4.5** The Sample Collection Authority shall maintain records of education, training, skills and experience of all Sample Collection Personnel.
G.5. Requirements - Accreditation, re-accreditation and delegation

G.5.1 The Sample Collection Authority shall establish a system for accrediting and re-accrediting Sample Collection Personnel.

G.5.2 The Sample Collection Authority shall ensure that Sample Collection Personnel have completed the training program and are familiar with the requirements of this International Standard for Testing and Investigations (including, where G.4.4.4 applies, in relation to the collection of Samples from Riders who are of a different nationality than the Sample Collection Personnel) before granting accreditation.

G.5.3 Accreditation shall only be valid for a maximum of two (2) years. Sample Collection Personnel shall be subject to an assessment (theoretical and/or practical) before being re-accredited and shall be required to repeat a full training program if they have not participated in Sample collection activities within the year prior to re-accreditation.

G.5.4 Only Sample Collection Personnel who have an accreditation recognized by the Sample Collection Authority shall be authorized to conduct Sample collection activities on behalf of the Sample Collection Authority.

G.5.5 The Sample Collection Authority shall develop a system to monitor the performance of Sample Collection Personnel during the period of accreditation, including defining and implementing criteria for revoking accreditation.

G.5.6 DCOs may personally perform any activities involved in the Sample Collection Session, with the exception of blood collection unless particularly qualified, or they may direct a Chaperone to perform specified activities that fall within the scope of the Chaperone’s authorized duties as determined by the Sample Collection Authority.
ANNEX H – EVENT TESTING

H.1. Objective

To ensure there is a procedure to follow when a request is made by an Anti-Doping Organization for permission to conduct Testing at an Event where they have been unable to reach agreement on such Testing with the ruling body of the Event. WADA’s objective in considering such requests is to:

a) Encourage collaboration and coordination between different Anti-Doping Organizations to optimize the effectiveness of their respective Testing programs;

b) Ensure that each Anti-Doping Organization’s responsibilities are properly managed; and

c) Avoid creating operational disturbance and harassment for Riders.

H.2. Scope

The procedure starts with the Anti-Doping Organization that is not responsible for initiating or directing Testing at an Event contacting the ruling body of the Event in writing to seek permission to conduct Testing and ends with WADA issuing a decision as to who shall be responsible to conduct Testing at the Event.

H.3. Responsibility

Both Anti-Doping Organizations seeking permission to conduct Testing at an Event and the ruling body of the Event should collaborate and where possible coordinate Testing at the Event. However, if this is not possible, then both Anti-Doping Organizations are required to submit their reasonings to WADA within the timeframes outlined. WADA then has the responsibility of reviewing the circumstances and issuing a decision in accordance with the procedures set out in this Annex.

H.4. Requirements

Any Anti-Doping Organization that is not responsible for initiating and directing Testing at an Event in accordance with Code Article 5.3.2, but which nevertheless desires to conduct Testing at such Event shall, prior to contacting WADA, request such permission from the ruling body of the Event in written form with full supporting reasons.

H.4.1 Such request shall be sent to the ruling body at least thirty-five (35) days prior to the beginning of the Event (i.e., thirty-five (35) days prior to the beginning of the In-Competition period as defined by the rules of the International Federation in charge of that sport).

H.4.2 If the ruling body refuses or does not respond within seven (7) days from receipt of the request, the requesting Anti-Doping Organization may send to WADA (with a copy to the ruling body) a written request with full supporting reasons, a clear description of the situation, and all the relevant correspondence between the ruling body and the requesting Anti-Doping Organization. Such request must be received by WADA no later than twenty-one (21) days prior to the beginning of the Event.
H.4.3 Upon receipt of such request, WADA will immediately ask the ruling body for its position on the request and the grounds for its refusal. The ruling body shall send WADA an answer within seven (7) days of receipt of WADA’s request.

H.4.4 Upon receipt by WADA of the ruling body’s answer, or if no answer is provided by the ruling body within the seven (7) days, WADA will render a reasoned decision within the next seven (7) days. In making its decision, WADA will consider, amongst others, the following:

a) The Test Distribution Plan for the Event, including the number and type of Testing planned for the Event;

b) The menu of Prohibited Substances for which the Samples collected will be analyzed;

c) The overall anti-doping program applied in the sport;

d) The logistical issues that would be created by allowing the requesting Anti-Doping Organization to conduct Testing at the Event;

e) Any other grounds submitted by the requesting Anti-Doping Organization and/or the ruling body refusing such Testing; and

f) Any other available information that WADA considers relevant.

H.4.5 If an Anti-Doping Organization who is not the ruling body for an Event in the country in which the Event is being hosted, has or receives intelligence regarding potential doping by an Rider(s) who is due to compete at the Event, the Anti-Doping Organization shall share the intelligence with the ruling body of the Event as soon as possible. If no Testing is planned by the ruling body for the Event and the Anti-Doping Organization is in a position to conduct Testing itself, the ruling body for the Event shall assess whether it or the Anti-Doping Organization can conduct Testing regardless of whether the intelligence is provided by the Anti-Doping Organization within the thirty-five (35) day period preceding the Event. If the ruling body of the Event fails to engage with the Anti-Doping Organization that provided the intelligence or decides it is not able to conduct Testing itself or does not authorize the Anti-Doping Organization to conduct Testing at the Event, then the Anti-Doping Organization shall notify WADA immediately.

H.4.6 If WADA decides that permission for Testing at the Event should be granted, either as requested by the requesting Anti-Doping Organization or as proposed by WADA, WADA may give the ruling body the possibility of conducting such Testing, unless WADA judges that this is not realistic and/or appropriate in the circumstances.
ANNEX I - COLLECTION, STORAGE AND TRANSPORT OF BLOOD ATHLETE BIOLOGICAL PASSPORT SAMPLES

I.1. Objective

To collect a Rider’s blood Sample, intended for use in connection with the measurement of individual Rider blood variables within the framework of the Athlete Biological Passport program, in a manner appropriate for such use.

I.2. Requirements

I.2.1 Planning shall consider the Rider’s whereabouts information to ensure Sample collection does not occur within two (2) hours of the Rider’s training, participation in Competition or other similar physical activity. If the Rider has trained or competed less than two (2) hours before the time the Rider has been notified of their selection, the DCO or other designated Sample Collection Personnel shall chaperone the Rider until this two-hour period has elapsed.

I.2.2 If the Sample was collected within two (2) hours of training or Competition, the nature, duration and intensity of the exertion shall be recorded by the DCO to make this information available to the APMU and subsequently to the Experts.

I.2.3 Although a single blood Sample is sufficient within the framework of the Athlete Biological Passport, it is recommended to collect an additional B Sample for a possible subsequent analysis of Prohibited Substances and Prohibited Methods in whole blood (e.g., detection of Homologous Blood Transfusion (HBT) and/or Erythropoiesis Stimulating Agents (ESAs)).

I.2.4 For Out-of-Competition Testing, A and B urine Samples should be collected together with the blood Sample(s) in order to permit Analytical Testing for ESAs unless otherwise justified by a specific intelligent Testing strategy.

[Comment to I.2.4: WADA’s Sample Collection Guidelines reflect these protocols and include practical information on the integration of Athlete Biological Passport Testing into “traditional” Testing activities. A table has been included within the Sample Collection Guidelines that identifies which particular timelines for delivery are appropriate when combining particular Test types (i.e., Athlete Biological Passport and Growth Hormone (GH), Athlete Biological Passport and Homologous Blood Transfusion, etc.), and which types of Samples may be suited for simultaneous transport.]

I.2.5 The Sample shall be refrigerated from its collection until its analysis with the exception of when the Sample is analyzed at the collection site without delay. The storage procedure is the DCO’s responsibility.

I.2.6 The storage and transport device shall be capable of maintaining blood Samples at a cool temperature during storage. Whole blood Samples shall not be allowed to freeze at any time. In choosing the storage and transport device, the DCO shall take into account the time of storage, the number of Samples to be stored in the device and the prevailing environmental conditions (hot or cold temperatures). The storage device shall be one of the following:
a) Refrigerator;
b) Insulated cool box;
c) Isotherm bag; or
d) Any other device that possesses the capabilities mentioned above.

I.2.7 A temperature data logger shall be used to record the temperature from the collection to the analysis of the Sample except when the Sample is analyzed at the collection site without delay. The temperature data logger shall be able to:

a) Record the temperature in degrees Celsius at least once per minute;
b) Record time in GMT;
c) Report the temperature profile over time in text format with one line per measurement following the format “YYYY-MM-DD HH:MM T”; and
d) Have a unique ID of at least six (6) characters.

I.2.8 Following notification to the Rider that he/she has been selected for Sample collection and following the DCO/BCO’s explanation of the Rider’s rights and responsibilities in the Sample collection process, the DCO/BCO shall ask the Rider to remain still, in a normal seated position, with feet on the floor for at least ten (10) minutes prior to providing a blood Sample.

[Comment to I.2.8: The Rider shall not stand up at any time during the ten (10) minutes prior to Sample collection. To have the Rider seated during ten (10) minutes in a waiting room and then to call the Rider into a blood collection room is not acceptable.]

I.2.9 The DCO/BCO shall collect and record the following additional information on an Athlete Biological Passport supplementary form, Athlete Biological Passport specific Doping Control form or other related report form to be signed by the Rider and the DCO/BCO:

a) Has the Rider been seated for at least ten (10) minutes with their feet on the floor prior to blood collection?
b) Was the Sample collected immediately following at least three (3) consecutive days of an intensive endurance Competition, such as a stage race in cycling?
c) Has the Rider had a training session or Competition in the two (2) hours prior to the blood collection?
d) Did the Rider train, compete or reside at an altitude greater than 1,500 meters within the prior two (2) weeks? If so, or if in doubt, the name and location of the place where the Rider had been and the duration of their stay shall be recorded. The estimated altitude shall be entered, if known.
e) Did the Rider use any form of altitude simulation such as a hypoxic tent, mask, etc. during the prior two (2) weeks? If so, as much information as possible on the type of
device and the manner in which it was used (e.g., frequency, duration, intensity) should be recorded.

f) Did the Rider receive any blood transfusion(s) during the prior three (3) months? Was there any blood loss due to accident, pathology or donation in the prior three (3) months? If so, the estimated volume should be recorded.

g) Has the Rider been exposed to any extreme environmental conditions during the last two (2) hours prior to blood collection, including any sessions in any artificial heat environment, such as a sauna? If so, the details should be recorded.

I.2.10 The DCO/BCO shall start the temperature data logger and place it in the storage device. It is important to start recording the temperature before Sample collection.

I.2.11 The storage device shall be located in the Doping Control Station and shall be kept secure.

I.2.12 The DCO/BCO instructs the Rider to select the Sample Collection Equipment in accordance with Annex D.4.6. If the collection tube(s) are not pre-labelled, the DCO/BCO shall label them with a unique Sample code number prior to the blood being drawn and the Rider shall check that the code numbers match.

I.3. The Sample Collection Procedure

I.3.1 The Sample collection procedure for the collection of blood for the purposes of the Athlete Biological Passport is consistent with the procedure set out in Annex D.4., including the ten (10) minute (or more) seated period, with the following additional elements:

a) The BCO ensures that the collection tubes were filled appropriately; and

b) After the blood flow into the tube ceases, the BCO removes the tube from the holder and homogenizes the blood in the tube manually by inverting the tube gently at least three (3) times.

I.3.2 The Rider and the DCO/BCO sign the Doping Control and Athlete Biological Passport supplementary form(s), when applicable.

I.3.3 The blood Sample is sealed and deposited in the storage device containing the temperature data logger.

I.4. Transportation Requirements

I.4.1 Blood Samples shall be transported in a device that maintains the integrity of Samples over time, due to changes in external temperature.

I.4.2 The transport procedure is the DCO’s responsibility. The transport device shall be transported by secure means using a Sample Collection Authority authorized transport method.
I.4.3 The integrity of the Markers used in the haematological module of the Athlete Biological Passport is guaranteed when the Blood Stability Score (BSS) remains below eighty-five (85), where the BSS is computed as:

\[
\text{BSS} = 3 \times T + \text{CAT}
\]

with CAT being the Collection to Analysis Time (in hours), and T the average Temperature (in degrees Celsius) measured by the data logger between Sample collection and analysis.

I.4.4 Within the framework of the BSS, the following table can be used by the DCO/BCO to estimate the maximal transport time to a Laboratory or WADA-Approved Laboratory for the Athlete Biological Passport, called the Collection to Reception Time (CRT), for a given average temperature T:

<table>
<thead>
<tr>
<th>T [°C]</th>
<th>CRT [h]</th>
</tr>
</thead>
<tbody>
<tr>
<td>15</td>
<td>35</td>
</tr>
<tr>
<td>12</td>
<td>41</td>
</tr>
<tr>
<td>10</td>
<td>46</td>
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<td>9</td>
<td>48</td>
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<td>53</td>
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<td>6</td>
<td>55</td>
</tr>
<tr>
<td>5</td>
<td>58</td>
</tr>
<tr>
<td>4</td>
<td>60</td>
</tr>
</tbody>
</table>

I.4.5 The DCO/BCO shall as soon as possible transport the Sample to a Laboratory or WADA-Approved Laboratory for the Athlete Biological Passport.

I.4.6 The Testing Authority or Sample Collection Authority shall report without delay into ADAMS:

a) The Doping Control form as per Article 4.9.1 b);

b) The Athlete Biological Passport supplementary form, and/or the additional information specific to the Athlete Biological Passport collected on a related report form;

c) In the Chain of Custody, the temperature data logger ID (without any time reference) and the time zone of the Testing location in GMT.