



**Tennis Anti-Doping  
Programme 2004**

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# **TENNIS ANTI-DOPING PROGRAMME 2004**

## A. Introduction

- A.1 The purpose of this Tennis Anti-Doping Programme (the "Programme") is to maintain the integrity of tennis and to protect the health and rights of all tennis players.
- A.2 The ITF is a Signatory to the World Anti-Doping Code (the "Code"). This Programme is adopted and implemented pursuant to the mandatory provisions of the Code, as part of the ITF's continuing efforts to keep doping out of the sport of tennis.
- A.3 The Programme, which includes the appendices hereto, encompasses:
- A.3.1 incorporation of the doping offences identified in the Code, based on the List of Prohibited Substances and Prohibited Methods, that is published and regularly updated by WADA, as described in Article 4.1 of the Code (the "Prohibited List");
- A.3.2 Testing of Samples collected both In-Competition and Out-of-Competition;
- A.3.3 review by an independent Review Board of Adverse Analytical Findings and other evidence of possible offences under this Programme, to ensure that there is a case to answer before anyone is charged with commission of such an offence;
- A.3.4 the hearing and determination of any such charges by an independent Anti-Doping Tribunal, with the right to appeal from the decision of such tribunal to the Court of Arbitration for Sport in Lausanne, Switzerland; and
- A.3.5 where it is found that a doping offence has been committed under the Programme, imposition of Consequences of the nature and scope specified in the Code.
- A.4 Italicised terms in this Programme shall bear the meaning ascribed to them in Appendix One to this Programme. Capitalised but non-italicised terms shall bear the meanings ascribed to them at the point they are first mentioned in the Programme.
- A.5 The effective date of this Programme is 1 January 2004. This Programme shall not apply retrospectively to matters pending prior to that date.

A.6 The Board of Directors of the ITF may amend this Programme from time to time.

B. Covered Players and Events

B.1 Any player who enters or participates in a Competition, Event or activity organised, sanctioned or recognised by the ITF or who has an ATP Tour or WTA Tour ranking (a "Player") shall be bound by and shall comply with all of the provisions of this Programme, including making himself or herself available for Testing both In-Competition and Out-of-Competition.

B.2 Events recognised by the ITF for the purpose of this Programme include (without limitation) Grand Slam tournaments, Davis Cup and Fed Cup ties, the Olympic Tennis event, WTA Tour tournaments, ATP Tour tournaments, ITF Women's Circuit tournaments, Challenger Series tournaments, Futures and Satellite Series Circuit tournaments, Juniors events and Wheelchair events ("Covered Events").

B.3 Any coach, trainer, manager, agent, Covered Events staff, official or medical or para-medical personnel working with or treating a Player ("Player Support Personnel") shall also be bound by and shall comply with all of the provisions of this Programme.

B.4 It is the sole responsibility of each Player and each Player Support Personnel to acquaint himself or herself with all of the provisions of the Programme.

B.5 A Player shall continue to be bound by and required to comply with the Programme unless and until the Player is deemed under the rules applicable to him or her to have retired from the sport.

C. Doping Offences

Doping is defined as the occurrence of one or more of the following (each, a "Doping Offence"):

C.1 The presence of a Prohibited Substance or its Metabolites or Markers in a Player's Specimen, unless the Player establishes that the presence is pursuant to a therapeutic use exemption granted in accordance with Article E.

- C.1.1 It is each Player's personal duty to ensure that no Prohibited Substance enters his or her body. A Player is responsible for any Prohibited Substance or its Metabolites or Markers found to be present in his or her Specimen. Accordingly, it is not necessary that intent, fault, negligence or knowing Use on the Player's part be demonstrated in order to establish a Doping Offence under Article C.1; nor is the Player's lack of intent, fault, negligence or knowledge a defence to a charge that a Doping Offence has been committed under Article C.1.
- C.1.2 Excepting those substances for which a quantitative reporting threshold is specifically identified in the Prohibited List, the detected presence of any quantity of a Prohibited Substance or its Metabolites or Markers in a Player's Specimen shall constitute a Doping Offence under Article C.1, unless the Player establishes that such presence is pursuant to a therapeutic use exemption granted in accordance with Article E.
- C.1.3 As an exception to the general rule of Article C.1.2, the Prohibited List may establish special criteria for the evaluation of Prohibited Substances that can also be produced endogenously.
- C.2 Use or Attempted Use of a Prohibited Substance or a Prohibited Method, unless the Player establishes that the Use or Attempted Use is pursuant to a therapeutic use exemption granted in accordance with Article E.
- C.2.1 The success or failure of the Use of a Prohibited Substance or Prohibited Method is not material. For a Doping Offence to be committed, it is sufficient that the Prohibited Substance or Prohibited Method was Used or Attempted to be Used.
- C.2.2 Notwithstanding Article C.2.1, however, Use of a substance Out-of-Competition that is not one of those Prohibited Substances specified for testing in Out-of-Competition Testing (see Article G.1.3) shall not constitute a Doping Offence under Article C.1.
- C.3 Refusing or failing, without compelling justification, to submit to Sample collection after notification of Testing as authorised in this Programme, or otherwise evading Sample collection.
- C.4 Failure to comply with the requirements regarding Player availability for Out-of-Competition Testing, including failure to provide the required whereabouts information as set out in Article G.2.3.
- C.5 Tampering, or Attempting to tamper, with any part of Doping Control.

- C.6 Possession of Prohibited Substances and/or Prohibited Methods.
- C.6.1 Possession by a Player at any time or place of a Prohibited Substance that is tested for in Out-of-Competition Testing or of a Prohibited Method is a Doping Offence under Article C.6, unless the Player establishes that the Possession is pursuant to a therapeutic use exemption granted in accordance with Article E or other acceptable justification.
- C.6.2 Possession by Player Support Personnel of a Prohibited Substance that is tested for in Out-of-Competition Testing or of a Prohibited Method in connection with a Player, Event or training is a Doping Offence under Article C.6, unless the Player Support Personnel establishes that the Possession is pursuant to a therapeutic use exemption granted to a Player in accordance with Article E or other acceptable justification.
- C.7 Trafficking in any Prohibited Substance or Prohibited Method.
- C.8 Administration or Attempted administration of a Prohibited Substance or Prohibited Method to any Player, unless the Player establishes that the administration or Attempted administration was pursuant to a therapeutic use exemption granted in accordance with Article E; or assisting, encouraging, aiding, abetting, covering up or any other type of complicity involving a Doping Offence or any Attempted Doping Offence.
- C.8.1 For the avoidance of doubt, the prohibition in Article C.8 of ‘covering up or any other type of complicity involving a Doping Offence’ does not extend to a positive obligation to report suspicions or evidence regarding the commission of Doping Offences by others.
- C.9 Failure or refusal to comply with any other provision of this Programme.

D. Prohibited Substances and Prohibited Methods

- D.1 Incorporation of the Prohibited List.
- D.1.1 This Programme incorporates and is based upon the Prohibited List.
- D.1.2 A copy of the Prohibited List promulgated as of 1 January 2004 is set out at Appendix Two to this Programme. WADA has the ability to amend the Prohibited List as set out in Article 4.1 of the Code. Unless provided otherwise by WADA, amendments by WADA to the Prohibited List shall come into effect under this Programme automatically three months after publication of such

amendments by WADA on its web-site, without the need for any further action by the ITF.

D.1.3 Without prejudice to the provisions of Article D.1.2, the ITF shall take reasonable steps to publicise any amendments made by WADA to the Prohibited List.

D.2 Criteria for Including Substances and Methods on the Prohibited List.

The criteria for including substances and methods on the Prohibited List are set out in Article 4.3 of the Code. As provided in Article 4.4.3 of the Code, WADA's determination of the Prohibited Substances and Prohibited Methods that will be included on the Prohibited List shall be final and shall not be subject to challenge by a Player or other Person.

D.2.1 Many of the substances on the Prohibited List may appear either alone or as part of a mixture within medications and/or supplements that may be available with or without a physician's prescription. Players are reminded that, as set out in Article C.1.1 of this Programme, they are strictly liable for any Prohibited Substances detected in Samples given by them. Players must ensure that Prohibited Substances do not enter or come to be present in their bodies and that Prohibited Methods are not used.

D.3 Prohibited Substances and Prohibited Methods Identified on the Prohibited List.

As described in Article 4.2 of the Code, upon the recommendation of the Review Board the ITF may request that WADA expand the Prohibited List for the sport of tennis and/or may request that WADA include additional substances or methods, which have the potential for abuse in the sport of tennis, in the monitoring programme described in Article 4.5 of the Code.

E. Therapeutic Use Exemptions

E.1 The International Standard for Therapeutic Use Exemptions issued by WADA (the key elements of the January 2004 version of which are set out at Part One of Appendix Two to this Programme) sets out the circumstances in which Players may claim an exemption to Use one or more Prohibited Substances or Prohibited Methods to treat documented medical conditions. In order to rely upon such an exemption to excuse the Use, the presence in a Sample or the Possession of a Prohibited Substance or Prohibited Method that would otherwise amount to a Doping Offence under this Programme, a Player must obtain a therapeutic use exemption ("TUE") prior to such Use, presence or Possession.

- E.2 As soon as there is a medical recommendation for a Player to use a Prohibited Substance or a Prohibited Method, the Player's physician should submit a request for a TUE to the TUE Committee, c/o the APA. The request must be accompanied by all of the information specified in the International Standard for Therapeutic Use Exemptions, and the TUE Committee may require that further information be provided as necessary.
- E.3 The TUE Committee shall promptly evaluate a TUE request in accordance with the International Standard for Therapeutic Use Exemptions and shall render a decision on such request based on that International Standard, which shall be the final decision under the Programme. The TUE Committee will process the request as quickly as is reasonably practicable, but Players should note that the procedure normally takes at least seventy-two hours from receipt of the request, and may take significantly longer. Any Player who uses the Prohibited Substance or Prohibited Method in issue prior to the TUE Committee approving the Player's request for a TUE does so entirely at his or her own risk.
- E.4 The TUE Committee shall notify the APA of the approval or denial of the TUE request, and the APA shall notify the Player and his physician, as well as WADA. If the request is approved, the TUE will become effective as of the date of receipt of the request by the APA.
- E.5 WADA, at the request of a Player or on its own initiative, may review the TUE Committee's approval or denial of any request for a TUE. If WADA determines that the TUE Committee's approval or denial of a TUE did not comply with the International Standard for Therapeutic Use Exemptions in force at the time, then WADA may reverse that decision.
- E.5.1 If WADA does not reverse the decision on a TUE within 30 days of receipt of notice thereof, it shall be deemed to have waived its right to review such decision, which shall remain in full force and effect.
- E.5.2 If WADA reverses the granting of a TUE, that reversal shall not apply retroactively, but rather only from the point that the reversal is notified to the Player concerned, and therefore the Player's results obtained from the date that the TUE came into effect until the date that the Player is notified of WADA's reversal of the TUE shall not be Disqualified, nor shall the Player be subject to any other Consequences based on his or her Use of the Prohibited Substance or Prohibited Method in question during such period.
- E.6 Decisions by WADA further to Article E.5 may be appealed pursuant to Article O.3.

F. In-Competition Testing

- F.1 Players shall be subject to In-Competition Testing by the ITF or its designee at ITF-sanctioned or recognised Events. The selection of the Events at which In-Competition Testing is to take place shall be made by the APA and approved by the ITF Executive Consultant, Medical, and shall remain confidential except to those Persons with a reasonable need to know of such selection in order to facilitate the Testing procedures.
- F.2 A Player may be notified that he or she has been selected for In-Competition testing in conjunction with an Event in which he or she is participating at any time from the moment the first ball in the first match of the main draw (or the qualifying draw, if he or she is participating in the qualifying draw) of the Competition in question is hit through and including immediately following the completion of the Player's last match in the Competition.
- F.3 The actual timing of the In-Competition Testing at a selected Event, and the selection of Players to be tested at that Event, shall be at the discretion of the APA. For the avoidance of doubt, the APA may select Players for Target Testing so long as such Target Testing is not used for any purpose other than legitimate Doping Control purposes. However, in addition to any other Players that the APA selects for Testing, all finalists and losing semi-finalists in each Competition will ordinarily be tested.
- F.4 Any Player who retires, is a no-show, is defaulted from a match or withdraws from the main draw or qualifying draw after the first match of such draw has commenced must submit to In-Competition Testing at the time of the retirement/no show/default/withdrawal if requested to do so. If the Competition in question was a doubles Competition, then his or her doubles partner must also submit to In-Competition Testing at the same time if requested to do so. If the Player in question is not on-site at the time of the request, the APA may (subject to the approval of the ITF Executive Consultant, Medical) require that the Player appear for testing at a specified time and location, in which case the Player may be required to contribute to the cost of the test in an amount not exceeding US\$5,000.
- F.5 In-Competition Testing shall be conducted on behalf of the ITF by qualified persons so authorised by the ITF. Such testing shall be conducted in accordance with the International Standard for Testing, the key elements of the January 2004 version of which are set out at Part Two of Appendix Two to this Programme.
- F.6 Players must report for In-Competition Testing within one hour of the time that they are notified that they have been selected for testing, and in the interim they must allow themselves to be chaperoned at all times by the person who notified

them of their selection. If a Player fails or refuses to submit to In-Competition Testing when selected, then the matter shall be referred to the Review Board to determine whether the Player has a case to answer under Article C.3 of the Programme.

G. Out-of-Competition Testing

G.1 Ambit of Out-of-Competition Testing.

G.1.1 All Players shall be subject to Out-of-Competition Testing under this Programme, including No Advance Notice Out-of-Competition Testing, at any time and place.

G.1.2 Any notice provided to a Player regarding his or her selection for Testing other than that provided pursuant to Article F shall be considered notice that the Player has been selected for Out-of-Competition Testing.

G.1.3 Samples collected during Out-of-Competition Testing shall only be analysed to detect the Prohibited Substances and Prohibited Methods specified in "Substances and Methods Prohibited In- and Out-of-Competition" section of the Prohibited List.

G.1.4 A reasonable effort will be made to avoid inconvenience to a Player who is subjected to Out-of-Competition Testing. However, the ITF shall not be liable for any inconvenience or loss caused to the Player as a result of the Out-of-Competition Testing.

G.2 Whereabouts Pool.

G.2.1 The ITF may designate and notify from time to time any Player or Players, who upon such designation and notification shall be deemed to be included in a pool of Players to be known under this Programme as the "Whereabouts Pool".

G.2.2 Players in the Whereabouts Pool are required, in relation to any two consecutive weeks (Saturday to Sunday) in which there is no day that they are entered to compete in an Event at which In-Competition Testing may take place, to advise the ITF at least one month prior thereto, in the manner specified by the ITF for that purpose, of the locations and times where the Player will be residing and training during those weeks. Players shall update this information as necessary so that it is current at all times.

- G.2.3 Where a Player in the Whereabouts Pool fails to submit the whereabouts information required by Article G.2.2 after receipt of three formal written warnings from the ITF to do so in the preceding twelve months, the matter shall be referred to the Review Board to determine whether the Player has a case to answer under Article C.4 of this Programme.
- G.2.4 Where a Player in the Whereabouts Pool is unavailable for Testing on three attempts during any period of twelve consecutive months, the matter shall be referred to the Review Board to determine whether the Player has a case to answer under Article C.3 of this Programme. For a Player to be deemed "unavailable" under this Article, the authorised person assigned to conduct the test must have visited all locations specified by the Player during the times specified by the Player for that date pursuant to Article G.2.2, and must have stayed at least one hour at each location. In addition, for an attempt to be counted as an "unavailable" attempt under this Article, the Player must subsequently be given notice of the attempt to test him or her and an opportunity to explain his or her unavailability for such testing. Such explanation (if any) shall be provided to the Review Board for consideration if and when the matter is referred to it pursuant to this Article.
- G.2.5 A Player in the Whereabouts Pool shall continue to be subject to the requirements of this Article G unless and until (a) further to Article B.5, the Player is deemed under the rules applicable to him or her to have retired from the sport or (b) the Player is notified that he or she no longer satisfies the criteria established by the ITF pursuant to Article G.2.1 for inclusion in the Whereabouts Pool.

G.3 Selection of Players to be Tested Out-of-Competition.

The timing of Out-of-Competition Testing and the selection of Players to be tested shall be at the discretion of the APA, subject to the approval of the ITF Executive Consultant, Medical, and acting by reference to the International Standard for Testing, the key elements of the January 2004 version of which are set out at Part Two of Appendix Two to this Programme. For the avoidance of doubt, the APA may select Players for Target Testing so long as such Target Testing is not used for any purpose other than legitimate Doping Control purposes. Decisions relating to timing and selection of Players for Out-of-Competition Testing shall remain confidential except to those with a reasonable need to know of them in order to facilitate the Testing procedures.

- G.4 Out-of-Competition Testing shall be conducted on behalf of the ITF by qualified persons so authorised by the ITF. Such Testing shall be conducted in

accordance with the guidelines for Out-of-Competition Testing set out in the International Standard for Testing.

- G.5 Subject to Article G.2.4, if a Player fails or refuses to submit to Out-of-Competition Testing when selected, then the matter shall be referred to the Review Board to determine whether the Player has a case to answer under Article C.3 of the Programme.

## H. Sample Analysis

Samples collected pursuant to this Programme shall be analysed in accordance with the following principles:

### H.1 Use of Approved Laboratories.

H.1.1 The ITF shall send urine Samples for analysis only to WADA-accredited laboratories. The choice of the WADA-accredited laboratory used for the Sample analysis shall be determined exclusively by the ITF or its designee.

H.1.2 Blood Samples may be tested either at a WADA-accredited or approved laboratory or (in the case of In-Competition Testing) on a mobile testing unit, for screening purposes (i.e. to determine whether the Player's corresponding urine Sample should be tested).

### H.2 Substances Subject to Detection.

H.2.1 Subject to Article G.1.3, Doping Control Samples shall be analysed to detect Prohibited Substances and Prohibited Methods identified on the Prohibited List and other substances as may be directed by WADA pursuant to the monitoring programme described in Article 4.5 of the Code.

### H.3 Restrictions on Use of Samples.

H.3.1 All Samples provided by a Player for the purposes of Doping Control under this Programme shall be the property of the ITF, and the ITF shall be entitled to determine all matters regarding the analysis and disposal of such Samples.

H.3.2 No Sample may be used for any purpose other than the detection of Prohibited Substances (or classes of Prohibited Substances) or Prohibited Methods, or as otherwise identified by WADA pursuant to the monitoring programme described in Article 4.5 of the Code.

#### H.4 Standards for Sample Analysis and Reporting.

- H.4.1 Laboratories shall analyze Doping Control Samples and report results in conformity with the International Standard for Laboratories.
- H.4.2 Subject to Article F.4, the ITF shall pay the costs of analysis of Samples under this Programme.
- H.4.3 The results from all analyses of Samples collected by or on behalf of the ITF (including Samples collected by WADA on behalf of the ITF) shall be sent to the APA in a report signed by an authorised representative of the laboratory conducting the analyses. The report shall include a documentation package enclosing all of the information required by the International Standard for Laboratories.
- H.4.4 Any Adverse Analytical Findings reported by the laboratory shall be dealt with in accordance with the provisions of Article J.2 of this Programme.

#### I. Investigations

- I.1 In addition to conducting the Doping Controls referenced at Articles F and G of this Programme, the ITF shall have the power to conduct investigations in whatever manner it thinks fit into the activities of any Participant that the ITF believes may have committed a Doping Offence. Such investigations may be conducted in conjunction with, and/or information obtained in such investigations may be shared with, other Signatories and/or other relevant authorities. The ITF shall have discretion, where it deems appropriate, to stay its own investigation pending the outcome of investigations being conducted by other Signatories and/or other relevant authorities.
- I.2 Participants must cooperate fully with investigations conducted pursuant to this Article. Failure or refusal to do so without acceptable justification shall constitute conduct contrary to the integrity of the game of tennis and/or 'Aggravated Behaviour' within the meaning of the Codes of Conduct applicable to the Events with which the Participant in question is involved, and shall render the Participant liable to the sanctions applicable under said Codes for such conduct.
- I.3 Where, as the result of such investigation, the ITF forms the view that a Doping Offence may have been committed, the ITF shall refer the matter to the Review Board, to be dealt with in accordance with the provisions of Article J.3 of this Programme.

J. Review Board

J.1 Responsibilities of the Review Board.

J.1.1 The Review Board shall carry out the functions assigned to it under this Article J and elsewhere in this Programme.

J.1.2 In a case involving an Adverse Analytical Finding, at no point should the APA advise the Review Board of the identity of the Player involved. Subject thereto, where necessary, where a matter is referred to the Review Board under this Programme the Review Board may request that the ITF provide additional information for the Review Board's consideration.

J.1.3 There shall be no obligation for the Review Board to meet in person to deliberate. Any decision by the Review Board that the Participant has a case to answer under Article C of this Programme must be unanimous.

J.2 Review of Adverse Analytical Findings

J.2.1 Upon receipt of an Adverse Analytical Finding in relation to an A Sample, the APA shall, without delay:

- (a) identify three Review Board members (who shall include one technical, one legal and one medical expert) to consider the matter; and
- (b) send the entire A Sample laboratory documentation package to those three Review Board members.

J.2.2 The three Review Board members shall conduct a review to determine whether:

- (a) a TUE has been granted with respect to the Prohibited Substance upon which the Adverse Analytical Finding is based; or
- (b) there has been a departure from the International Standard for Testing or the International Standard for Laboratories in force at the time of Testing or analysis of the Specimen in question that undermines the validity of the Adverse Analytical Finding.

J.2.3 If the Review Board determines that either (a) or (b) in Article J.2.2 applies, then it shall advise the APA that there is no case to answer and the matter shall not proceed any further.

J.2.4 If the Review Board determines that neither (a) nor (b) in Article J.2.2 applies, the Review Board shall advise the APA either that there is a case to answer or

(where applicable) that additional investigations should be conducted to determine whether there is a case to answer. The APA shall promptly notify the ITF Executive Consultant, Medical of the identity of the player and shall notify the Player and the ITF Executive Consultant, Medical, in writing of:

- (a) the Adverse Analytical Finding; and
- (b) where necessary, the additional investigation that will be conducted to determine whether there is a case to answer; OR (where no additional investigation is required)
- (c) the Doping Offence alleged to have been committed;
- (d) the Player's right to request the analysis of the B Sample, which right (further to Article J.2.5) shall be deemed waived unless exercised within fourteen days of receipt of this notice;
- (e) the right of the Player and/or the Player's representative to attend the B Sample opening and analysis; and
- (f) the Player's right to copies of the A Sample laboratory documentation package.

J.2.5 If the Player does not request analysis of the B Sample within fourteen days of receipt of the notice specified in Article J.2.4, above, the Player shall be deemed (a) to have waived his or her right to have the B Sample analysed; and (b) to have accepted the A Sample analytical results. In the event that the Player exercises his right to have the B Sample analysed within the deadline specified above, the B Sample shall be analysed without delay.

J.2.6 The Player and/or his agent or representative shall be entitled to be present at the analysis of the B Sample scheduled further to Article J.2.5, at the Player's cost. A representative of the ITF may also be present. In the event that no such person attends the B Sample analysis, the laboratory shall appoint an independent witness, in accordance with the International Standard for Laboratories, to witness the opening of the B Sample.

J.2.7 If the B Sample tests negative for the Prohibited Substance or Prohibited Method that was found in relation to the A Sample, the entire test shall be considered negative and the Player and the ITF shall be so informed. In such circumstances, no further action shall be taken against the Player, save that he or she may subsequently be made the subject of Target Testing.

- J.2.8 If the report of the analysis of the B Sample confirms to the satisfaction of the APA that the B Sample tests positive for the Prohibited Substance or Prohibited Method that was found in the A Sample, then the matter shall proceed to a hearing in accordance with the provisions of Article K of this Programme. If the APA has any doubt in the matter, then he or she shall refer the issue to the Review Board members who reviewed the position in relation to the corresponding A Sample (subject to availability) and they shall make the decision.
- J.2.9 If a follow-up investigation is required into an Adverse Analytical Finding, then the APA shall conduct such follow-up investigation and then shall report the findings of that investigation to the Review Board, which shall then decide whether there is a case to answer under Article C of the Programme. If the Review Board concludes that there is a case to answer under Article C of the Programme, the matter shall proceed in accordance with Article J.2.4, above.
- J.3 Referrals to the Review Board that involve evidence other than Adverse Analytical Findings.
- J.3.1 Where a matter is referred to the Review Board that involves evidence of a Doping Offence other than an Adverse Analytical Finding, pursuant to Article I of the Programme or otherwise :
- (a) the APA shall identify three Review Board members who have the expertise required by the nature of the particular case, to review the evidence to determine whether there is a case to answer under Article C of the Programme; and
  - (b) the APA shall send the entire dossier of evidence to each of those three Review Board members.
- J.3.2 Where they consider it appropriate to do so, the three Review Board members may give the Participant(s) implicated in the alleged Doping Offence an opportunity, subject to a strict timetable set by the Review Board, to make any submissions that he or she may wish to make, and shall take such submissions (if any) into account in making its determination. A formal hearing is not required to be held; the Review Board shall determine how the submissions should be made, such as (for example) in writing, or by telephonic conference.
- J.3.3 Where the Review Board concludes that there is no case to answer under Article C of the Programme, no further action shall be taken.

J.3.4 Where the Review Board concludes that there is a case to answer under Article C of the Programme, the matter shall proceed to a hearing in accordance with Article K of the Programme.

J.4 No Provisional Suspension.

J.4.1 For the avoidance of doubt, unless and until a Player has admitted or an Anti-Doping Tribunal has found that a Player has committed a Doping Offence under this Programme, such Player (a) shall not be deemed to have committed such an offence and (b) shall not be deemed Ineligible.

J.4.2 Notwithstanding Article J.4.1, the following proportions of the prize money won by a Player subsequent to the date that the notice specified in Article K.1.1, below, is sent to him or her shall be put into escrow pending the Anti-Doping Tribunal's decision:

| <u>Total aggregate prize money</u> | <u>Percentage withheld</u> |
|------------------------------------|----------------------------|
| \$0-7,500                          | 0%                         |
| \$7,501-27,500                     | 50%                        |
| \$27,501+                          | 100%                       |

J.4.3 If the final decision of the Anti-Doping Tribunal does not require the forfeiture of such escrowed prize money, then it shall be returned without delay to the Player, together with any interest earned on the money while it was in escrow.

J.5 Results Management for Tests Initiated During the Olympic Games.

Where a Player commits a Doping Offence at the Olympic Games, the International Olympic Committee shall determine the question of Disqualification from the Olympic Games. However, the question of further Consequences, if any, to be imposed in relation to such Doping Offence shall be determined by the Anti-Doping Tribunal following the procedures set out in Article K of this Programme.

K. Due Process

K.1 Commencing proceedings before the Anti-Doping Tribunal

K.1.1 When the Review Board determines, pursuant to Article J.2.4 or Article J.3.4, that the Participant in question has a case to answer under Article C, or where a matter arises pursuant to Article J.5, the ITF Executive Consultant, Medical shall

appoint an Anti-Doping Tribunal to hear the matter and shall send a written notice to the Participant (the "Notice"), with a copy to the person designated as the Chairman of the Anti-Doping Tribunal, setting out the following:

- (a) the Doping Offence(s) alleged to have been committed, including the specific Article(s) of this Programme alleged to have been infringed, and the facts upon which such allegations are based;
- (b) the Consequences prescribed under the Programme if it is found that such Doping Offence has been committed; and
- (c) the Participant's entitlement, if he or she so elects, to have the matter determined by the Anti-Doping Tribunal, at a hearing conducted in accordance with this Article K.

Subject strictly to Article P.3, the ITF shall send a copy of the Notice referred to in Article K.1.1 to both WADA and the Player's National Anti-Doping Organization (if any). Thereafter, the ITF may provide information to WADA and/or the Player's National Anti-Doping Organisation (if any) in relation to the status of the case under Article K.

K.1.2 If the Participant fails to file a written request for such a hearing by such deadline, the Participant shall be deemed:

- (a) to have waived his or her entitlement to a hearing;
- (b) to have admitted that he or she has committed the Doping Offence(s) specified in the Notice; and
- (c) to have acceded to the Consequences specified in the Notice.

In such circumstances, a hearing before the Anti-Doping Tribunal shall not be required. Instead, the Chairman of the Anti-Doping Tribunal shall promptly issue a decision confirming the commission of the Doping Offence(s) alleged in the Notice, and ordering the imposition of such Consequences (including, where this Programme specifies a range of possible Consequences, specifying what the Consequences should be in that particular case).

K.1.3 The Participant shall be entitled at any stage to admit that he or she has committed the Doping Offence(s) specified in the Notice and to accede to the Consequences specified in the Notice. In such circumstances, a hearing before the Anti-Doping Tribunal shall not be required. Instead, the Chairman of the Anti-Doping Tribunal shall promptly issue a decision confirming the commission of the Doping Offence(s) specified in the Notice, and ordering the

imposition of such Consequences (including, where this Programme specifies a range of possible Consequences, specifying what the Consequences should be in that particular case). Where a range of possible Consequences is specified in the Programme, written submissions may be made by or on behalf of the Participant in mitigation at the time of admission of the Doping Offence, and the Chairman of the Anti-Doping Tribunal shall be entitled to take those submissions into account, as well as any rebuttal submitted by the ITF, in determining what Consequences should apply.

- K.1.4 If the Participant exercises his or her right to ask for a hearing before the Anti-Doping Tribunal within the deadline specified in Article K.1.2, the Participant shall be advised of the identities of the appointed members of the Anti-Doping Tribunal and asked if he or she has any legitimate objection to any of them sitting on the Anti-Doping Tribunal in his or her case. Any unjustified delay in raising any such objection shall constitute a waiver thereof. If any objection is made, the Chairman of the Anti-Doping Tribunal shall rule on its legitimacy, unless the objection is as to the Chairman, in which case the other members of the Anti-Doping Tribunal appointed to hear the particular case shall rule on its legitimacy.
- K.1.5 Notwithstanding the provisions of Article K.1.4, if the Doping Offence identified in the Notice involves only one or more of the specified substances identified in Article M.3, below, then the Player may elect to have the matter heard by the Chairman of the Anti-Doping Tribunal sitting alone; provided that, if the Player seeks to make such election after the meeting referred to at Article K.1.7 has taken place, then the Chairman may in his/her discretion decline to hear the matter sitting alone.
- K.1.6 If, because of a legitimate objection or for any other reason, a member of the Anti-Doping Tribunal appointed to hear a particular case is or becomes unwilling or unable to hear the case, then the Chairman of the Anti-Doping Tribunal may, at his/her absolute discretion (a) appoint another member of the Anti-Doping Tribunal as a replacement; or (b) authorize the remaining members appointed to hear the case on their own.
- K.1.7 No more than 21 days after the date of the Notice, the Chairman of the Anti-Doping Tribunal shall convene a meeting with the ITF and its legal representatives, and the Participant to whom the Notice was sent and his or her legal representatives, to take jurisdiction formally over the matter and to address any pre-hearing issues. The meeting may be held in person or by telephone conference call. The non-attendance of the Participant or his or her representative at the meeting, after proper notice of the meeting has been provided, shall not prevent the Chairman of the Anti-Doping Tribunal from proceeding with the meeting in the Participant's absence, whether or not any

written submissions are made on the Participant's behalf. In particular (but without limitation), the Chairman shall:

- (a) determine the date(s) (which must be at least twenty-one days after the meeting, unless the parties consent to a shorter period) upon which the hearing shall be held. Subject to the foregoing sentence, the hearing shall be commenced as soon as practicable after the Notice is sent, and ordinarily within sixty (60) days of the date that the Participant requests a hearing. It shall be completed expeditiously;
- (b) establish dates reasonably in advance of the date of the hearing at which:
  - i. the ITF shall submit a brief with argument on all issues that the ITF wishes to raise at the hearing, a list of the witnesses that the ITF intends to call at the hearing (with each witness's address, telephone number and a summary of the subject areas of the witness's anticipated testimony) and enclosing copies of the exhibits that the ITF intends to introduce at the hearing;
  - ii. the Participant shall submit an answering brief, addressing the ITF's arguments and setting out argument on the issues that the Participant wishes to raise at the hearing, as well as a list of the witnesses that the Participant intends to call at the hearing (with each witness's address, telephone number and a summary of the subject areas of the witness's anticipated testimony) and enclosing copies of the exhibits that the Participant intends to introduce at the hearing; and
  - iii. the ITF may submit a reply brief, responding to the Participant's answer brief and listing any rebuttal witnesses or exhibits; and
- (c) make such order as the Chairman shall deem appropriate in relation to the production of relevant documents and/or other materials between the parties; provided that save for good cause shown no documents and/or other materials shall be ordered to be produced in relation to the laboratory analysis resulting in an Adverse Analytical Finding beyond the documents that are required, pursuant to the International Standard for Laboratories, to be included in the laboratory report pack.

## K.2 Conduct of Hearings Before the Anti-Doping Tribunal.

K.2.1 Subject to the Anti-Doping Tribunal's discretion to order otherwise for good cause shown, hearings before the Anti-Doping Tribunal shall be conducted on a confidential basis. Save where the Chairman orders otherwise for good cause shown by a party, the hearings shall take place in London.

K.2.2 The Participant has the right to be present and to be heard at the hearing. The Participant also has the right (at the Participant's expense) to be represented at the hearing by legal counsel of the Participant's choosing. The Participant may choose not to appear in person at the hearing, but rather to provide a written submission for consideration by the Anti-Doping Tribunal, in which case the Anti-Doping Tribunal shall consider the submission in its deliberations. However, the non-attendance of the Participant or his or her representative at the hearing, after proper notice of the hearing has been provided, shall not prevent the Anti-Doping Tribunal from proceeding with the hearing in his or her absence, whether or not any written submissions are made on his or her behalf.

K.2.3 The procedure followed at the hearing shall be at the discretion of the Chairman of the Anti-Doping Tribunal, provided that the hearing is conducted in a fair manner with a reasonable opportunity for each party to present evidence (including the right to call and to question witnesses), address the Anti-Doping Tribunal and present his, her or its case.

K.2.4 The ITF shall make arrangements to have the hearing recorded or transcribed (save for the private deliberations of the Anti-Doping Tribunal) and the Participant shall have the right to receive upon demand a recording or transcription of the proceedings, at the ITF's expense. If requested by the Player, the ITF shall also arrange for an interpreter to attend the hearing, at the ITF's expense.

### K.3 Burdens and Standards of Proof.

K.3.1 The ITF (which may be represented by legal counsel at the hearing) shall have the burden of establishing that a Doping Offence has been committed. The standard of proof shall be whether the ITF has established the commission of the alleged Doping Offence to the comfortable satisfaction of the Anti-Doping Tribunal, bearing in mind the seriousness of the allegation that is made. This standard of proof in all cases is greater than a mere balance of probability but less than proof beyond a reasonable doubt.

K.3.2 Where this Programme places the burden of proof upon the Participant alleged to have committed a Doping Offence to rebut a presumption or establish specified facts or circumstances, the standard of proof shall be by a balance of probability.

### K.4 Methods of Establishing Facts and Presumptions.

The Anti-Doping Tribunal shall not be bound by judicial rules governing the admissibility of evidence. Instead, facts relating to a Doping Offence may be established by any reliable means, including admissions. The following rules of proof shall be applicable at the hearing:

- K.4.1 WADA-accredited laboratories shall be presumed to have conducted Sample analysis and custodial procedures in accordance with the International Standard for Laboratories. The Participant may rebut this presumption by establishing, from the information that the laboratory is required to produce in accordance with the International Standard or otherwise, that a departure from the International Standard occurred. In such an event, the ITF shall have the burden to establish that such departure did not cause the Adverse Analytical Finding.
- K.4.2 Departures from the International Standard for Testing that did not cause an Adverse Analytical Finding or the factual basis for another Doping Offence shall not invalidate such evidence. If the Player establishes that departures from the International Standard occurred during Testing, then the ITF shall have the burden to establish that such departures did not cause the Adverse Analytical Finding or the factual basis for the Doping Offence.
- K.5 Decisions of the Anti-Doping Tribunal.
- K.5.1 Once the parties have completed their respective submissions, the Anti-Doping Tribunal shall retire to deliberate in private as to whether a Doping Offence has been committed. Any decision that a Doping Offence has been committed must be made unanimously, with no abstentions. Where Article M of this Programme specifies a range of possible sanctions for the Doping Offence found to have been committed, the Anti-Doping Tribunal shall also fix the sanction within that range for the case at hand, after considering any submissions on the subject that the parties may wish to make.
- K.5.2 The Anti-Doping Tribunal shall issue its decision in writing as soon as possible after the conclusion of the hearing. Such decision will be sent to the parties and (subject strictly to the confidentiality provisions of Article P.4) to WADA and to any other party that has a right, further to Article O of this Programme, to appeal the decision. The decision shall set out and explain:
- (a) the Anti-Doping Tribunal's findings as to what Doping Offence(s), if any, has/have been committed;
  - (b) the Consequences applicable (if any) as a result of such findings; and
  - (c) the rights of appeal applicable pursuant to Article O of the Programme.
- K.5.3 The ITF shall pay the costs of convening the Anti-Doping Tribunal and of staging the hearing. The Anti-Doping Tribunal does not have the power to award costs or make any costs order against a Participant or the ITF; each party bears its own costs, legal, expert and otherwise.

K.5.4 Subject only to the rights of appeal under Article O of the Programme, the Anti-Doping Tribunal's decision shall be the full, final and complete disposition of the case and will be binding on all parties. If the decision is that a Doping Offence has been committed, (a) the decision shall be publicly reported in full without delay, and in any event no later than 20 days after its issue; and (b) the ITF may also publish such other parts of the proceedings before the Anti-Doping Tribunal as the ITF shall think fit. If the Participant is exonerated of any Doping Offence, then the decision shall not be published (save as set out in Article K.5.2 of this Programme) and its confidentiality shall be strictly maintained by all parties.

L. Automatic Disqualification of Individual Results

L.1 A Doping Offence committed by a Player in connection with or arising out of an In-Competition test automatically leads to Disqualification of the individual result obtained by the Player involved in that Competition with all resulting consequences, including forfeiture of any medals, titles, computer ranking points and prize money (without deduction for tax) obtained in that Competition.

L.2 Where, further to Article L.1, M.1 or M.7 of this Code, results obtained by a Player in a doubles Competition or Competitions are Disqualified because of that Player's Doping Offence:

L.2.1 That Player shall be required to forfeit half of the prize money (without deduction for tax) that was awarded to the doubles pair in which he or she competed in such Competition(s);

L.2.2 Save where the other Player in such doubles pair is found by an Anti-Doping Tribunal to be implicated in the first Player's Doping Offence, that other Player shall not forfeit any medals, titles, computer ranking points or prize money earned in such Competition(s).

L.3 There will be no readjustment of prize money, ranking points or title for any Player who lost to a Player subsequently found to have committed a Doping Offence except where provision is made for such readjustment by the regulations of the relevant Competition.

M. Sanctions on Individuals

M.1 Disqualification of Results in Event During which a Doping Offence Occurs.

M.1.1 Subject to Article M.1.2, where a Player is found to have committed a Doping Offence in relation to a Competition in an Event where the Player also participated in other Competitions (for example, the Doping Offence was committed in relation to the doubles Competition and the Player also participated in the singles Competition at that Event), then in addition to the consequences set out at Article L (in relation to the Disqualification of results obtained in the particular Competition with respect to which the Doping Offence was committed), the Doping Offence will also lead to Disqualification of all of the Player's individual results obtained in the other Competitions in the Event with all resulting consequences, including forfeiture of all medals, titles, computer ranking points and prize money (without deduction for tax).

M.1.2 If the Player establishes that he or she bears No Fault or Negligence for the Doping Offence, the Player's individual results obtained in the Competition(s) other than the Competition in relation to which the Doping Offence occurred shall not be Disqualified unless the ITF establishes that the Player's results in the other Competition(s) were likely to have been affected by the Player's Doping Offence.

M.2 Imposition of Ineligibility for Prohibited Substances and Prohibited Methods.

Except where the substance at issue is one of the specified substances identified in Article M.3, the period of Ineligibility imposed for a violation of Article C.1 (presence of Prohibited Substance or its Metabolites or Markers), Article C.2 (Use or Attempted Use of Prohibited Substance or Prohibited Method) or Article C.6 (Possession of Prohibited Substances and/or Prohibited Methods) shall be:

First offence: Two (2) years' Ineligibility.

Second offence: Lifetime Ineligibility.

However, the Participant shall have the opportunity in each case, before a period of Ineligibility is imposed, to establish the basis for eliminating or reducing this sanction as provided in Article M.5.

M.3 Lesser Sanction for Specified Substances.

The Prohibited List may identify specified substances that are particularly susceptible to unintentional anti-doping rules violations because of their general availability in medicinal products or that are less likely to be successfully abused as doping agents (a "Specified Substance"). Where a Player can establish that the Use of such a Specified Substance was not intended to enhance sport performance, the period of Ineligibility found in Article M.2 shall be replaced with the following:

First offence: At a minimum, a warning and reprimand and no period of Ineligibility from future Events, and at a maximum, one (1) year's Ineligibility.

Second offence: Two (2) years' Ineligibility.

Third offence: Lifetime Ineligibility.

However, the Participant shall have the opportunity in each case, before a period of Ineligibility is imposed, to establish the basis for eliminating or reducing (in the case of a second or third offence) this sanction as provided in Article M.5.

#### M.4 Ineligibility for Other Doping Offences.

The period of Ineligibility for other Doping Offences shall be as follows:

M.4.1 For Doping Offences under Article C.3 (refusing or failing to submit to Sample collection), Article C.5 (Tampering with Doping Control), or Article C.9 (refusing or failing to abide by any other provision of this Programme), the Ineligibility periods set out in Article M.2 shall apply.

M.4.2 For Doping Offences under Article C.7 (Trafficking) or Article C.8 (administration of Prohibited Substance or Prohibited Method), the period of Ineligibility imposed shall be a minimum of four (4) years up to lifetime Ineligibility. A Doping Offence involving a Minor shall be considered a particularly serious offence and, if committed by Player Support Personnel in relation to Doping Offences other than those involving Specified Substances, shall result in lifetime Ineligibility for such Player Support Personnel. In addition, Doping Offences that also violate non-sporting laws and regulations may be reported to the competent administrative, professional or judicial authorities.

M.4.3 For Doping Offences under Article C.4 (Whereabouts Violations or Missed Tests), the period of Ineligibility shall be:

First offence: Three (3) months to one (1) year Ineligibility.

Second and subsequent offences: Two (2) years' Ineligibility.

M.5 Elimination or Reduction of Period of Ineligibility Based on Exceptional Circumstances.

M.5.1 If the Player establishes in an individual case involving a Doping Offence under Article C.1 (presence of Prohibited Substance or its Metabolites or Markers) or Article C.2 (Use of a Prohibited Substance or Prohibited Method) that he or she bears No Fault or Negligence for the offence, the otherwise applicable period of Ineligibility shall be eliminated. When the case involves a Doping Offence under Article C.1 (presence of a Prohibited Substance or its Metabolites or Markers), the Player must also establish how the Prohibited Substance entered his or her system in order to have the period of Ineligibility eliminated. In the event that this Article is applied and the period of Ineligibility otherwise applicable is eliminated, the Doping Offence shall not be considered a Doping Offence for the limited purpose of determining the period of Ineligibility for multiple Doping Offences under Articles M.2, M.3 and M.6.

M.5.2 This Article M.5.2 applies only to Doping Offences involving Article C.1 (presence of Prohibited Substance or its Metabolites or Markers), Article C.2 (Use of a Prohibited Substance or Prohibited Method), Article C.3 (failing to submit to Sample collection), Article C.8 (administration of a Prohibited Substance or Prohibited Method) or Article C.9 (refusing or failing to abide by any other provision of this Programme). If a Player establishes in an individual case involving such offences that he or she bears No Significant Fault or Negligence, then the period of Ineligibility may be reduced, but the reduced period of Ineligibility may not be less than one-half of the minimum period of Ineligibility otherwise applicable. If the otherwise applicable period of Ineligibility is a lifetime, the reduced period under this section may be no less than eight years. When the Doping Offence involves Article C.1 (presence of Prohibited Substance or its Markers or Metabolites), the Player must also establish how the Prohibited Substance entered his or her system in order to have the period of Ineligibility reduced.

M.5.3 The Anti-Doping Tribunal may also reduce the period of Ineligibility in an individual case, either at the time of its original decision or subsequently (by reconvening) where the Participant has provided substantial assistance to the ITF that results in the ITF discovering or establishing a Doping Offence by another Person involving Possession under Article C.6.2 (Possession by Player Support Personnel), Article C.7 (Trafficking), or Article C.8 (administration to a Player). The period of Ineligibility after such reduction may not, however, be less than one-half of the minimum period of Ineligibility otherwise applicable. If the otherwise applicable period of Ineligibility is a lifetime, the reduced period under this Article may be no less than eight years.

M.6 Rules for Certain Potential Multiple Offences.

M.6.1 For purposes of imposing sanctions under Article M.2, M.3 and M.4, a second Doping Offence involving the same Prohibited Substance or Prohibited Method

may be considered only if the ITF can establish that the Participant committed the second Doping Offence after the Participant received notice, or after the ITF made a reasonable attempt to give notice, of the decision of the Anti-Doping Tribunal that the Participant has committed the first Doping Offence. If the ITF cannot establish this, the Doping Offences shall be considered as one single first Doping Offence, and the sanction imposed shall be based on the Doping Offence that carries the more severe sanction.

M.6.2 Where a Player, based on the same Doping Control, is found to have committed a Doping Offence involving both a Specified Substance and another Prohibited Substance or Prohibited Method, the Player shall be considered to have committed a single Doping Offence, but the sanction imposed shall be based on the Prohibited Substance or Prohibited Method that carries the most severe sanction.

M.6.3 Where a Player is found to have committed two separate Doping Offences, one involving a Specified Substance and the other involving a Prohibited Substance or Prohibited Method governed by the sanctions set out in Article M.2 or a Doping Offence governed by the sanctions in Article M.4.1, the period of Ineligibility imposed for the second offence shall be at a minimum two years' Ineligibility and at a maximum three years' Ineligibility. Any Player found to have committed a third Doping Offence involving any combination of Specified Substances under Article M.3 and any other Doping Offence governed by the sanctions set out under Article M.2 or M.4.1 shall receive a sanction of lifetime Ineligibility.

M.7 Disqualification of Results in Competitions Subsequent to Sample Collection.

In addition to the automatic Disqualification, pursuant to Article L, of the results in the Competition that produced the positive Sample, all other competitive results obtained from the date a positive Sample was collected (whether In-Competition or Out-of-Competition) or other Doping Offence occurred through to the date of commencement of any Ineligibility period shall, unless the Anti-Doping Tribunal determines that fairness requires otherwise, be Disqualified with all of the resulting consequences, including forfeiture of any medals, titles, computer ranking points and prize money (without deduction for tax).

M.8 Commencement of Consequences.

Any Consequences set out in the decision of an Anti-Doping Tribunal shall come into force and effect on the date that the decision is issued, save that:

M.8.1 For purposes of forfeiture of computer ranking points, the decision shall come into effect at midnight on the Sunday nearest to the date that the decision is issued.

M.8.2 The Anti-Doping Tribunal shall have discretion, where fairness requires, to establish an instalment plan for repayment of any prize money forfeited pursuant to Articles L and/or M of this Programme. For the avoidance of doubt, the schedule of payments pursuant to such plan may extend beyond any period of Ineligibility imposed upon the Player.

M.8.3 The period of Ineligibility shall start on the date that the decision is issued, provided that:

- (a) any period during which the Player demonstrates he or she has voluntarily foregone participation in Competitions shall be credited against the total period of Ineligibility to be served; and
- (b) where required by fairness, such as in the case of delays in the hearing process or other aspects of Doping Control not attributable to the Player, the Anti-Doping Tribunal may start the period of Ineligibility at an earlier date commencing as early as the date of Sample collection.

M.9 Status During Ineligibility.

M.9.1 No Participant who has been declared Ineligible may, during the period of Ineligibility, participate in any capacity in an Event or activity (other than authorised anti-doping education or rehabilitation programs) authorised or organised by the ITF or any National Association. Without prejudice to the generality of the foregoing, such Participant shall not be given accreditation for, or otherwise granted access to, any Event to which access is controlled by the ITF. Furthermore, the ITF shall take all necessary steps to have the Ineligibility recognised and enforced by all other Signatories.

M.9.2 Where an Event that will take place after the period of Ineligibility has an entry deadline that falls during the period of Ineligibility, the Player may submit an application for entry in the Event in accordance with that deadline, notwithstanding that at the time of such application he or she is Ineligible.

M.9.3 If a Participant commits a Doping Offence during a period of Ineligibility, this shall be treated as a separate Doping Offence under the Programme.

M.10 Reinstatement Testing

M.10.1 As a condition to regaining eligibility at the end of a specified period of Ineligibility, a Player must make him or herself available for Out-of-Competition Testing by the ITF during any period of Ineligibility, and must provide current and accurate whereabouts information as specified in Article G.2.2, above.

M.10.2 In addition, immediately prior to the end of the period of Ineligibility, a Player must submit to Testing for the Prohibited Substances and Prohibited Methods identified in the Prohibited List for Out-of-Competition Testing.

M.10.3 The ITF may also make reinstatement subject to the review and approval of a Player's medical condition by the Review Board in order to establish the Player's fitness to be reinstated.

M.10.4 Once the period of a Player's Ineligibility has expired, and the Player has fulfilled the conditions of reinstatement, then provided that the Player has paid all forfeiture penalties in full due under Articles L, M.1, M.7 and/or M.8.2, above, the Player will become automatically re-eligible and no application by the Player for reinstatement will be necessary. If, however, further forfeited amounts become due after a Player's period of Ineligibility has expired (as a result of an instalment plan established pursuant to Article M.8.2), then any failure by the Player to pay all outstanding amounts on or before their respective due dates shall entitle the ITF to deny the Player access to further Covered Events until all amounts due are paid in full.

M.11 Application For Reinstatement Following Lifetime Ineligibility.

A Participant who has been given a sanction of lifetime Ineligibility may apply at any time to an Anti-Doping Tribunal convened under this Article for reduction of that sanction and reinstatement. However, such Participant shall have no right to reinstatement under any circumstances; it may only be granted by the Anti-Doping Tribunal for good cause shown. The Anti-Doping Tribunal may impose such conditions or restrictions on a grant of reinstatement as it may see fit. Furthermore, a Participant may not in any circumstances be reinstated unless and until he or she has been Ineligible for a period of not less than eight years. The Anti-Doping Tribunal's decision shall be subject to appeal as set out in Article O.4.

## N. Consequences to Teams

The consequences to a team entered in a Competition of the commission of a Doping Offence by a Player in his or her capacity as the member of that team shall be as set out in the rules relating to that Competition.

O. Appeals

O.1 Decisions Subject to Appeal.

Decisions made under this Programme may be appealed as set out in this Article O. Such decisions shall remain in effect while under appeal unless the appellate body orders otherwise.

O.2 Appeals from Decisions Regarding Doping Offences and Consequences.

A decision that a Doping Offence has been committed, a decision imposing Consequences for a Doping Offence, a decision that no Doping Offence has been committed, and/or a decision that the ITF lacks jurisdiction to rule on an alleged Doping Offence or its Consequences, may be appealed by any of the following parties exclusively to the Court of Arbitration for Sport ("CAS"), in accordance with CAS's rules relating to Appeal Arbitration Hearings:

- (a) the Participant who is the subject of the decision being appealed;
- (b) the ITF;
- (c) any other Anti-Doping Organisation under whose rules a sanction could have been imposed;
- (d) the International Olympic Committee, where the decision may have an effect in relation to the Olympic Games, including decisions affecting eligibility for the Olympic Games; and/or
- (e) WADA.

O.3 Appeals from Decisions Granting or Denying a Therapeutic Use Exemption.

O.3.1 Decisions by WADA further to Article E.6, reversing the grant or denial of a TUE exemption by the Review Board, may be appealed exclusively to CAS by the Player or the ITF in accordance with CAS's rules relating to Appeal Arbitration Procedures.

O.3.2 The denial of a TUE by the Review Board, if not reversed by WADA, may be appealed by the Player to CAS.

O.4 Appeals from Reinstatement Decisions.

A reinstatement decision of an Anti-Doping Tribunal made pursuant to Article M.11 may be appealed by the ITF, WADA or the Player's National Anti-Doping

Organisation (if any) only, exclusively to CAS in accordance with CAS's rules relating to Appeal Arbitration Hearings.

O.5 Time for Filing Appeals.

The deadline for filing an appeal to CAS shall be twenty-one (21) days from the date of receipt of the decision by the appealing party. The above notwithstanding, the following shall apply in connection with appeals filed by a party entitled to appeal but which was not a party to the proceedings that led to the decision subject to appeal:

- (a) Within ten (10) days from notice of the decision, such party/ies shall have the right to request from the body having issued the decision a copy of the record on which such body relied;
- (b) If such a request is made within the ten-day period, then the party making such request shall have twenty-one (21) days from receipt of the record to file an appeal to CAS.

P. Confidentiality

- P.1 Details of all Testing carried out under this Programme, i.e. date of test, name of Player tested, and whether the test was In-Competition or Out-of-Competition, shall be entered onto the WADA Database, and made available via that database to WADA and other Anti-Doping Organisations that have jurisdiction to test Players, so that duplication of anti-doping efforts may be avoided.
- P.2 All communications with the laboratory in relation to Testing carried out under this Programme must be conducted in such a way that the results of the analyses are confidential, with any information that could identify the Players involved having been redacted.
- P.3 The ITF shall use its reasonable endeavours to ensure that Persons under its control do not publicly identify Players whose Samples have resulted in Adverse Analytical Findings, or who are alleged to have committed a Doping Offence under this Programme, unless and until the Anti-Doping Tribunal has determined that a Doping Offence has been committed, or such hearing has been waived and/or the Doping Offence has been admitted. However, the ITF in its discretion may at any time disclose to other organisations such information as the ITF may consider necessary or appropriate to facilitate administration or enforcement of this Programme, provided that each organisation provides assurance satisfactory to the ITF that the organisation will maintain all such information in confidence.

- P.4 The Notice referred to in Article K.1.1 shall also specify that, if the Participant wishes to exercise his or her right to a hearing before the Anti-Doping Tribunal, he or she must submit a written request for such a hearing so that it is received by the ITF Executive Consultant, Medical as soon as possible, but in any event within ten (10) days of the Participant's receipt of the Notice. WADA and the Player's Anti-Doping Organisation (if any) shall keep the contents of that Notice, and any further information supplied to them pursuant to this clause, strictly confidential unless and until a decision that a Doping Offence has been committed is published pursuant to Article K.5.4 of this Programme; provided that, if the decision exonerates the Player, that confidentiality shall be strictly maintained unless and until the decision is overturned on appeal.
- P.5 Subject strictly to Article P.3, the ITF may release information about the Programme for public consumption, including but not limited to the names of Players who have been tested and the frequency with which they have been tested; the numbers of tests conducted on Players within certain ranking groups or categories; and the identity of Events where Testing has been carried out.
- P.6 Whereabouts information provided by a Player pursuant to Article G.2.2 shall be entered onto the WADA Database only on the basis that it shall be maintained in the strictest confidence at all times, it shall be used by WADA and other Anti-Doping Organisations only for Doping Control purposes, and it shall be destroyed when no longer relevant for such purposes.

Q. Recognition of Decisions Made by Other Organisations

- Q.1 The Testing, TUE decisions and hearing results or other final adjudications of any Signatory to the Code shall be recognised and respected by the ITF and the National Associations, provided that (a) they are consistent with the Code and this Programme and are within the Signatory's authority; and (b) the Review Board is otherwise satisfied that they ought to be recognised by the ITF.
- Q.2 Similar actions of other bodies that are not Signatories to the Code may also be recognised on the same basis as set out in Article Q.2, provided that the rules of those bodies are otherwise consistent with the Code.

R. Statute of Limitations

No action may be commenced under this Programme against a Player or other Person for a Doping Offence under this Programme unless such action is commenced within eight years from the date that the Doping Offence occurred.

S. General

- S.1 The Programme shall be interpreted in a manner that is consistent with applicable provisions of the Code. The comments annotating various provisions of the Code may, where applicable, assist in the understanding and interpretation of this Programme.
- S.2 Section headings within this Programme are for the purpose of guidance only and do not form part of the Programme itself. Nor do they inform or affect the language of the provisions to which they refer.
- S.3 Subject to Article S.1, this Programme is governed by and shall be construed in accordance with English law. Save in relation to disputes relating to CAS, which shall be subject to the jurisdiction of the Swiss courts, disputes relating to the Programme shall be subject to the exclusive jurisdiction of the English courts.

T. National Federations

T.1 Incorporation of the Programme.

It shall be a condition of membership of the ITF that all National Associations shall comply with this Programme. This Programme shall also be incorporated either directly or by express reference into each National Association's rules and regulations. All National Federations shall include in their rules and regulations the procedural rules necessary to implement this Programme effectively. The rules of each National Association shall specifically provide that all Players, Player Support Personnel and other Persons under the jurisdiction of the National Association shall be bound by this Programme.

T.2 Statistical Reporting.

- T.2.1 National Associations shall report to the ITF at the end of every calendar year results of all Doping Controls within their jurisdiction sorted by Player and identifying each date on which the Player was tested, the entity conducting the test, and whether the test was In-Competition or Out-of-Competition. The ITF may periodically publish such data received from National Associations.
- T.2.2 The National Association shall regularly update the ITF and WADA on the status and findings of any review or proceedings conducted by the National Association in relation to alleged Doping Offences.

### T.3 Recognition of Decisions Made Pursuant to the Programme

Any decision made by the Review Board or an Anti-Doping Tribunal under this Programme shall be recognised by all National Associations, which shall take all necessary action to render such results effective.

## APPENDIX ONE

### DEFINITIONS

Adverse Analytical Finding. A report from a laboratory or other approved Testing entity that identifies in a Specimen the presence of a Prohibited Substance or its Metabolites or Markers (including elevated quantities of endogenous substances) or evidence of the Use of a Prohibited Method.

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

Anti-Doping Programme Administrator ("APA"). A person appointed by the ITF to be responsible for the overall operation and administration of the Tennis Anti-Doping Programme. References to the APA shall be deemed to encompass any designee of the APA.

Anti-Doping Tribunal. A panel of three persons appointed by the ITF consisting of a Chair (who shall be legally qualified), and other lawyers and/or a medical expert and/or a technical expert with experience in anti-doping, to perform the functions assigned to the Anti-Doping Tribunal under the Programme. Each member of the Anti-Doping Tribunal shall be independent of the ITF, which may provide reasonable compensation and reimbursement of expenses to such members.

Anti-Doping Working Group. A committee consisting of representatives from the ITF, ATP and WTA, each bearing responsibility for anti-doping matters for the organisation that he or she represents.

APA. See Anti-Doping Programme Administrator.

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

Competition. Any stand-alone part of an Event, such as a singles competition or a doubles or mixed doubles competition.

Consequences. A Doping Offence may result in one or more of the following: (a) Disqualification means the Player's results in a particular Competition or Event are invalidated, with all resulting consequences, including forfeiture of any medals, computer ranking points and prize money (without deduction for tax); and (b) Ineligibility means the Participant is barred for a specified period of time from participating in any Competition or other activity, as provided in Article M.9.

Disqualification. See Consequences above.

Doping Control. The process including test distribution planning, Sample collection and handling, laboratory analysis, results management, hearings and appeals.

Event. A series of individual Competitions conducted together under one organising body.

In-Competition. For purposes of differentiating between In-Competition and Out-of-Competition Testing, unless provided otherwise in the rules of the entity responsible for Testing, an In-Competition test is a test where a Player is selected for testing in connection with a specific Competition.

Independent Observer Program. A team of observers, under the supervision of WADA, who observe the Doping Control process at certain Events and report on observations. If WADA is testing In-Competition at an Event, the observers shall be supervised by an independent organisation.

Ineligibility. See Consequences above.

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

International Standard. A standard adopted by WADA in support of the Code, as revised from time to time. 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. The key elements of certain of the current International Standards are set out in Appendix Three to this Programme. However, WADA's Executive Committee may approve revisions to an International Standard at any time, and such revisions shall become effective in relation to this Programme on the date specified therein, without the need for any further action by the ITF. In the case of any difference between the key elements of the International Standards as set out in Appendix Three to this Programme and the International Standards in effect and published on WADA's website, the latter shall prevail.

ITF Executive Consultant, Medical. An appointee of the ITF with supervisory responsibilities in relation to the Programme.

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

Marker. A compound, group of compounds or biological parameters that indicates the Use of a Prohibited Substance or Prohibited Method.

Metabolite. Any substance produced by a biotransformation process.

Minor. A natural Person who has not reached the age of majority as established by the applicable laws of his or her country of residence.

National Anti-Doping Organisation. The entity(ies) designated by each country as possessing the primary authority and responsibility to adopt and implement anti-doping rules, direct the collection of Samples, the management of test results, and the conduct of hearings, all 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 Association. A national or regional entity which is a member of or is recognised by the ITF as the entity governing the sport of tennis in that nation or region.

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

No Advance Notice. A Doping Control that takes place with no advance warning to the Player and where the Player is continuously chaperoned from the moment of notification through Sample provision.

No Fault or Negligence. The Player establishing that he or she did not know or suspect, and could not reasonably have known or suspected even with the exercise of utmost caution, that he or she had Used or been administered the Prohibited Substance or Prohibited Method.

No Significant Fault or Negligence. The Player establishing that his or her fault or negligence, when viewed in the totality of the circumstances and taking into account the criteria for No Fault or Negligence, was not significant in relationship to the Doping Offence.

Out-of-Competition. Any Doping Control which is not In-Competition.

Participant. Any Player or Player Support Personnel.

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

Possession. The actual, physical possession, or the constructive possession (which shall be found only if the Person has exclusive control over the Prohibited Substance/Method or the premises in which a Prohibited Substance/Method exists); provided, however, that if the Person does not have exclusive control over the Prohibited Substance/Method or the premises in which a Prohibited Substance/Method exists, constructive possession shall only be found if the Person knew about the presence of the Prohibited Substance/Method and intended to exercise control over it. Provided, however, that there shall be no Doping Offence based solely on possession if, prior to receiving notification of any kind that the Person has committed a Doping Offence, the Person has taken concrete action demonstrating that the Person no longer intends to have Possession and has renounced the Person's previous Possession.

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

Prohibited Substance. Any substance so described on the Prohibited List.

Review Board. A standing panel proposed by the APA and appointed by the Anti-Doping Working Group, consisting of a Chair and eight other members with medical, technical and/or legal experience in anti-doping, to perform the functions assigned to the Review Board in the Programme. All members of the Review Board panel shall be otherwise independent from the ITF. Each panel member shall serve a term of four years, which may thereafter be renewed.

Sample/Specimen. Any biological material collected for the purposes of Doping Control, such as urine and/or blood. The terms "A Sample" and "B Sample" shall have the meanings ascribed to them in the International Standard for Testing.

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

Tampering. Altering for an improper purpose or in an improper way; bringing improper influence to bear; interfering improperly to alter results or prevent normal procedures from occurring.

Target Testing. Selection of Players for Testing where specific Players or groups of Players are selected on a non-random basis for Testing at a specified time.

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

Trafficking. To sell, give, administer, transport, send, deliver or distribute a Prohibited Substance or Prohibited Method to a Player either directly or through one or more third parties, but excluding the sale or distribution (by medical personnel or by Persons other than Player Support Personnel) of a Prohibited Substance for genuine and legal therapeutic purposes.

TUE Committee. A panel designated by the ITF and composed of [at least three physicians] with experience in the care and treatment of Players and a sound knowledge of clinical and exercise medicine. In all cases involved a Player with a disability, one of the physicians must have experience with the care and treatment of Players with disabilities.

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

WADA. The World Anti-Doping Agency.

WADA Database. An on-line database, with a state-of-the-art security system, maintained by WADA for purposes of collating anti-doping information.

## APPENDIX TWO

### THE PROHIBITED LIST VALID AS OF 1 JANUARY 2004

#### SUBSTANCES AND METHODS PROHIBITED IN COMPETITION PROHIBITED SUBSTANCES

##### S1. STIMULANTS

The following stimulants are prohibited, including both their optical (D- and L-) isomers where relevant:

Adrafinil, amfepramone, amiphenazole, amphetamine, amphetaminil, benzphetamine, bromantan, carphedon, cathine<sup>1</sup>, clobenzorex, cocaine, dimethylamphetamine, ephedrine\*\*, etilamphetamine, etilefrine, fencamfamin, fenetylline, fenfluramine, fenproporex, furfenorex, mefenorex, mephentermine, mesocarb, methamphetamine, methylamphetamine, methylenedioxyamphetamine, methylenedioxymethamphetamine, methylephedrine<sup>2</sup>, methylphenidate, modafinil, nikethamide, norfenfluramine, parahydroxyamphetamine, pemoline, phendimetrazine, phenmetrazine, phentermine, prolintane, selegiline, strychnine, and other substances with similar chemical structure or similar pharmacological effects<sup>3</sup>.

##### S2. NARCOTICS

The following narcotics are prohibited:

buprenorphine, dextromoramide, diamorphine (heroin), hydromorphone, methadone, morphine, oxycodone, oxymorphone, pentazocine, pethidine.

##### S3. CANNABINOIDS

Cannabinoids (e.g. hashish, marijuana) are prohibited.

##### S4. ANABOLIC AGENTS

Anabolic agents are prohibited.

###### 1. Anabolic Androgenic Steroids (AAS)

a. Exogenous\* AAS including but not limited to:

---

<sup>1</sup> **Cathine** is prohibited when its concentration in urine is greater than 5 micrograms per millilitre.

<sup>2</sup> Each of **ephedrine** and **methylephedrine** is prohibited when its concentration in urine is greater than 10 micrograms per millilitre.

<sup>3</sup> The substances included in the 2003 Monitoring Program are not considered as *Prohibited Substances*.

androstadienone, bolasterone, boldenone, boldione, clostebol, danazol, dehydrochloromethyltestosterone, delta 1-androstene-3, 17-dione, drostanolone, drostanediol, fluoxymesterone, formebolone, gestrinone, 4-hydroxytestosterone, 4-hydroxy-19-nortestosterone, mestenolone, mesterolone, methandienone, metenolone, methandriol, methyltestosterone, mibolerone, nandrolone, 19-norandrostenediol, 19-norandrostenedione, norbolethone, norethandrolone, oxabolone, oxandrolone, oxymesterone, oxymetholone, quinbolone, stanozolol, stenbolone, 1-testosterone (delta1-dihydro-testosterone), trenbolone and their analogues<sup>#</sup>.

b. Endogenous\*\* AAS including but not limited to:

androstenediol, androstenedione, dehydroepiandrosterone (DHEA), dihydrotestosterone, testosterone and their analogues<sup>#</sup>.

Where a Prohibited Substance (as listed above) is capable of being produced by the body naturally, a Sample will be deemed to contain such Prohibited Substance where the concentration of the Prohibited Substance or its metabolites or markers and/or any other relevant ratio(s) in the Athlete's Sample so deviates from the range of values normally found in humans so as not to be consistent with normal endogenous production. A Sample shall not be deemed to contain a Prohibited Substance in any such case where the Athlete proves by evidence that the concentration of the Prohibited Substance or its metabolites or markers and/or the relevant ratio(s) in the Athlete's Sample is attributable to a pathological or physiological condition. In all cases, and at any concentration, the laboratory will report an adverse finding if, based on any reliable analytical method, it can show that the Prohibited Substance is of exogenous origin.

If the laboratory result is not conclusive and no concentration as referred to in the above paragraph is found, the relevant Anti-Doping Organisation shall conduct a further investigation if there are serious indications, such as a comparison to reference steroid profiles, for a possible Use of a Prohibited Substance.

If the laboratory has reported the presence of a T/E ratio greater than six (6) to one (1) in the urine, further investigation is obligatory in order to determine whether the ratio is due to a physiological or pathological condition.

In both cases, the investigation will include a review of any previous tests, subsequent tests and/or results of endocrine investigations. If previous tests are not available, the Athlete shall undergo an endocrine investigation or be tested unannounced at least three times within a three month period.

Failure of the Athlete to co-operate in the investigations will result in considering the Athlete's Sample to contain a Prohibited Substance.

## 2. Other Anabolic Agents

Clenbuterol, zeranol.

For purposes of this section:

\* "exogenous" refers to a substance which is not capable of being produced by the body naturally.

\*\* "endogenous" refers to a substance which is capable of being produced by the body naturally.

# an "analogue" is defined as "a substance derived from the modification or alteration of the chemical structure of another substance while retaining a similar pharmacological effect."

## S5. PEPTIDE HORMONES

The following substances are prohibited, including their mimetics\*, analogues# and releasing factors:

1. Erythropoietin (EPO)
2. Growth hormone (hGH) and Insulin-like Growth Factor (IGF-1)
3. Chorionic Gonadotrophin (hCG) prohibited in males only;
4. Pituitary and synthetic gonadotrophins (LH) prohibited in males only;
5. Insulin.
6. Corticotrophins

Unless the Athlete can demonstrate that the concentration was due to a physiological or pathological condition, a Sample will be deemed to contain a Prohibited Substance (as listed above) where the concentration of the Prohibited Substance or its metabolites and/or relevant ratios or markers in the Athlete's Sample so exceeds the range of values normally found in humans so as not to be consistent with normal endogenous production.

The presence of analogues, mimetics, diagnostic marker(s) or releasing factors of a hormone listed above or of any other finding which indicate(s) that the substance detected is not the naturally present hormone, will be reported as an adverse analytical finding.

For purposes of this section:

\* a "mimetic" is defined as a substance with pharmacological effect similar to that of another substance, regardless of the fact that it has a different chemical structure.

# an "analogue" is defined as "a substance derived from the modification or alteration of the chemical structure of another substance while retaining a similar pharmacological effect."

## S6. BETA-2 AGONISTS

All beta-2 agonists including their D- and L- isomers are prohibited except that formoterol, salbutamol, salmeterol and terbutaline are permitted by inhalation only to prevent and/or treat asthma and exercise-induced asthma/broncho-constriction. A medical notification in accordance with section 8 of the International Standard for Therapeutic Use Exemptions is required.

Despite the granting of a TUE, when the Laboratory has reported a concentration of salbutamol (free plus glucuronide) greater than 1000 ng/mL, this will be considered as an adverse analytical finding unless the Athlete proves that the abnormal result was the consequence of the therapeutic use of inhaled salbutamol.

## S7. AGENTS WITH ANTI-OESTROGENIC ACTIVITY

Aromatase inhibitors, clomiphene, cyclofenil, tamoxifen are prohibited only in males.

## S8. MASKING AGENTS

Masking agents are prohibited. They are products that have the potential to impair the excretion of Prohibited Substances, to conceal their presence in urine or other Samples used in doping control, or to change haematological parameters.

Masking agents include but are not limited to:

Diuretics\*, epitestosterone, probenecid, plasma expanders (e.g. dextran, hydroxyethyl starch.)

\* A medical approval in accordance with section 7 of the International Standard for Therapeutic Use Exemptions is not valid if an Athlete's urine

contains a diuretic in association with threshold or sub-threshold levels of a Prohibited Substance(s).

Diuretics include:

acetazolamide, amiloride, bumetanide, canrenone, chlortalidone, etacrynic acid, furosemide, indapamide, mersalyl, spironolactone, thiazides (e.g. bendroflumethiazide, chlorothiazide, hydrochlorothiazide) and triamterene, and other substances with similar chemical structure or similar pharmacological effects.

## S.9 GLUCOCORTICOSTEROIDS

Glucocorticosteroids are prohibited when administered orally, rectally, or by intravenous or intramuscular administration.

All other administration routes require a medical notification in accordance with section 8 of the International Standard for Therapeutic Use Exemptions.

## PROHIBITED METHODS

### M1. ENHANCEMENT OF OXYGEN TRANSFER

The following are prohibited:

- a. Blood doping. Blood doping is the use of autologous, homologous or heterologous blood or red blood cell products of any origin, other than for legitimate medical treatment.
- b. The Use of products that enhance the uptake, transport or delivery of oxygen, e.g. erythropoietins, modified haemoglobin products including but not limited to haemoglobin-based blood substitutes, microencapsulated haemoglobin products, perfluorochemicals, and efaproxiral (RSR13).

### M2. PHARMACOLOGICAL, CHEMICAL AND PHYSICAL MANIPULATION

Pharmacological, chemical and physical manipulation is the Use of substances and methods, including masking agents, which alter, attempt to alter or may reasonably be expected to alter the integrity and validity of specimens collected in doping controls.

These include but are not limited to catheterisation, urine substitution and/or tampering, inhibition of renal excretion and alterations of testosterone and epitestosterone concentrations.

### M3. GENE DOPING

Gene or cell doping is defined as the non-therapeutic use of genes, genetic elements and/or cells that have the capacity to enhance athletic performance.

## SUBSTANCES AND METHODS PROHIBITED IN AND OUT OF COMPETITION

### PROHIBITED SUBSTANCES

(All categories listed hereunder refer to all those substances and methods listed in the relevant section)

- S4. ANABOLIC AGENTS
- S5. PEPTIDE HORMONES
- S6. BETA-2 AGONISTS\*
- S7. AGENTS WITH ANTI-OESTROGENIC ACTIVITY
- S8. MASKING AGENTS

(\*Only clenbuterol, and salbutamol when its concentration in urine is greater than 1000ng/mL)

### PROHIBITED METHODS

- M1. ENHANCEMENT OF OXYGEN TRANSFER
- M2. PHARMACOLOGICAL, CHEMICAL AND PHYSICAL MANIPULATION
- M3. GENE DOPING

### SUBSTANCES PROHIBITED IN PARTICULAR SPORTS

#### P.1 ALCOHOL

Alcohol (ethanol) is prohibited In-Competition only, in the following sports. Detection will be conducted by breath analysis and/or blood. The doping violation threshold for each Federation is reported in parenthesis. If no threshold is indicated, the presence of any quantity of alcohol shall constitute a doping violation.

|                  |            |
|------------------|------------|
| Aeronautic (FAI) | (0.20 g/L) |
| Archery (FITA)   | (0.10 g/L) |
| Automobile (FIA) |            |
| Billiards (WCBS) |            |
| Boules (CMSB)    | (0.50 g/L) |

|                          |   |
|--------------------------|---|
| Football (FIFA)          |   |
| Gymnastics (FIG)         | (0.10 g/L)                                  |
| Karate (WKF)             | (0.40 g/L)                                  |
| Modern Pentathlon (UIPM) | (0.10 g/L) for modern pentathlon discipline |
| Motorcycling (FIM)       |   |
| Roller Sports (FIRS)     | (0.02 g/L)                                  |
| Skiing (FIS)             |   |
| Triathlon (ITU)          | (0.40 g/L)                                  |
| Wrestling (FILA)         |   |

## P.2 BETA-BLOCKERS

Unless otherwise specified, beta-blockers are prohibited In-Competition only, in the following sports.

Aeronautic (FAI)  
 Archery (FITA) (also prohibited out of competition)  
 Automobile (FIA)  
 Billiards (WCBS)  
 Bobsleigh (FIBT)  
 Boules (CMSB)  
 Bridge (FMB)  
 Chess (FIDE)  
 Curling (WCF)  
 Football (FIFA)  
 Gymnastics (FIG)  
 Motorcycling (FIM)  
 Modern Pentathlon (IUPM) for the modern pentathlon discipline  
 Nine-pin bowling (FIQ)  
 Sailing (ISAF) match race helms only  
 Shooting (ISSF) (also prohibited out of competition)  
 Skiing (FIS) ski jumping & free style snow board  
 Swimming (FINA) in diving & synchronised swimming  
 Wrestling (FILA)

Beta-blockers include, but are not limited to, the following:

acebutolol, alprenolol, atenolol, betaxolol, bisoprolol, bunolol, carteolol, carvedilol, celiprolol, esmolol, labetalol, levobunolol, metipranolol, metoprolol, nadolol, oxprenolol, pindolol, propranolol, sotalol, timolol.

### P.3 DIURETICS

Diuretics are prohibited in- and out- of competition in all sports as masking agents. However, in the following weight-classified sports and sports where weight loss can enhance performance, no Therapeutic Use Exemptions shall be granted for use of diuretics.

Body-Building (IFBB)  
Boxing (AIBA)  
Judo (IJF)  
Karate (WKF)  
Powerlifting (IPF)  
Rowing (Light-Weight) (FISA)  
Skiing (FIS) for Ski Jumping only  
Taekwondo (WTF)  
Weightlifting (IWF)  
Wrestling (FILA)  
Wushu (IWUF)

### SPECIFIED SUBSTANCES

The WADA Code (10.3) states "The Prohibited List may identify specified substances which are particularly susceptible to unintentional anti-doping rule violations because of their general availability in medicinal products or which are less likely to be successfully abused as doping agents." A doping violation involving such substances may result in a reduced sanction as noted in the Code provided that the "...Athlete can establish that the Use of such a specified substance was not intended to enhance sport performance..."

"Specified Substances" are listed below:

Stimulants: ephedrine, L-methylamphetamine, methylephedrine.  
Cannabinoids.  
Inhaled Beta-2 Agonists (except clenbuterol).  
Diuretics (this does not apply to section P3).  
Masking Agents: probenecid.  
Glucocorticosteroids  
Beta Blockers  
Alcohol

### PART THREE: THE 2004 MONITORING PROGRAM

The WADA Code (4.5) states "WADA, in consultation with other Signatories and governments, shall establish a monitoring program regarding substances which are not on the Prohibited List, but which WADA wishes to monitor in order to detect patterns of misuse in sport."

The following substances are placed on the 2004 Monitoring List:

Stimulants: In-Competition Only: caffeine, phenylephrine,  
phenylpropanolamine, pipradrol, pseudoephedrine, synephrine.

Narcotics: In-Competition Only: morphine/codeine ratio

## APPENDIX THREE

### INTERNATIONAL STANDARDS

The Code states: “International Standards for different technical and operational areas within the anti-doping program will be developed in consultation with the Signatories and governments and approved by WADA. The purpose of the International Standards is harmonization among Anti-Doping Organizations responsible for specific technical and operational parts of the anti-doping programs. Adherence to the International Standards is mandatory for compliance with the Code. The International Standards may be revised from time to time by the WADA Executive Committee after reasonable consultation with the Signatories and governments. Unless provided otherwise in the Code, International Standards and all revisions shall become effective on the date specified in the International Standard or revision.”

Compliance with an International Standard (as opposed to another alternative standard, practice or procedure) shall be sufficient to conclude that the procedures covered by the International Standard were performed properly.

Elements of the International Standards for Therapeutic Use Exemptions, Testing, and Laboratories effective as of 1 January 2004 are set out below for ease of reference (at Parts One, Two and Three respectively). However, the International Standards apply in their entirety, whether set out below or not. For complete, definitive and current information, the full copy of the current International Standard posted on WADA’s website ([www.wada-ama.org](http://www.wada-ama.org)) should be consulted.

#### Pt I. INTERNATIONAL STANDARD FOR THERAPEUTIC USE EXEMPTIONS

##### 1.0 Introduction and Scope

The principal purpose of the International Standard for TUE is to ensure that the process of granting therapeutic use exemptions is harmonized across sports and countries.

The Code permits Players and their physicians to apply for Therapeutic Use Exemptions, i.e. permission to use, for therapeutic purposes, substances or methods contained in the List of Prohibited Substances or Methods whose use is otherwise prohibited.

The International Standard for TUE includes criteria for granting a TUE, confidentiality of information, the formation of Therapeutic Use Exemption Committees and the TUE application process. ...

### 3.2 Defined terms from the International Standard for TUE

Therapeutic: Of or relating to the treatment of a medical condition by remedial agents or methods; or providing or assisting in a cure.

TUE: Therapeutic Use Exemption.

TUEC: Therapeutic Use Exemption Committee is the Panel established by the relevant Anti-Doping Organisation.

WADA TUEC: WADA Therapeutic Use Exemption Committee is the Panel designated by WADA.

...

### 4.0 Criteria for Granting a Therapeutic Use Exemption

A TUE may be granted to a Player permitting the use of a Prohibited Substance or Prohibited Method contained in the Prohibited List. An application for a TUE will be reviewed by a TUEC. The TUEC will be appointed by the ITF. An exemption will only be granted in strict accordance with all of the following criteria:

...

4.1 The Player should submit an application for a TUE no less than 21 days before participating in an Event.

4.2 The Player would experience a significant impairment to health if the Prohibited Substance or Prohibited Method were to be withheld in the course of treating an acute or chronic medical condition.

4.3 The therapeutic use of the Prohibited Substance or Prohibited Method would produce no additional enhancement of performance other than that which might be anticipated by a return to a state of normal health following the treatment of a legitimate medical condition. The use of any Prohibited Substance or Prohibited Method to increase “low-normal” levels of any endogenous hormone is not considered an acceptable therapeutic intervention.

4.4 There is no reasonable therapeutic alternative to the use of the otherwise Prohibited Substance or Prohibited Method.

4.5 The necessity for the use of the otherwise Prohibited Substance or Prohibited Method cannot be a consequence, wholly or in part, of prior non-therapeutic use of any substance from the Prohibited List.

4.6 The TUE will be cancelled by the granting body, if:

- a. The Player does not promptly comply with any requirements or conditions imposed by the Anti-Doping Organisation granting the exemption.
- b. The term for which the TUE was granted has expired.
- c. The Player is advised that the TUE has been withdrawn by the Anti-Doping Organisation.

...

4.7 An application for a TUE will not be considered for retroactive approval except in cases where:

- a. Emergency treatment or treatment of an acute medical condition was necessary; or
- b. Due to exceptional circumstances, there was insufficient time or opportunity for an applicant to submit, or a TUEC to consider, an application prior to Doping Control.

## 5.0 Confidentiality of Information

5.1 The applicant must provide written consent for the transmission of all information pertaining to the application to members of the TUEC and, as required, other independent medical or scientific experts, or to all necessary staff involved in the management, review or appeal of TUEs. Should the assistance of external, independent experts be required, all details of the application will be circulated without identifying the Player [or the physician(s) involved in the Player's care]. The applicant must also provide written consent for the decisions of the TUEC to be distributed to other relevant Anti-Doping Organisations under the provisions of the Code.

5.2 The members of the TUEC and the ITF will conduct all their activities in strict confidence. All members of a TUEC and all staff involved will sign confidentiality agreements. In particular, they will keep the following information confidential:

- a. All medical information and data provided by the Player and physician(s) involved in the Player's care.
- b. All details of the application including the name of the physician(s) involved in the process.

Should the Player wish to revoke the right of the TUEC or the WADA TUEC to obtain any health information on his/her behalf, the Player must notify his/her medical practitioner in writing of the fact. As a consequence of such a decision, the Player will not receive approval for a TUE or renewal of an existing TUE.

## 6.0 Therapeutic Use Exemption Committees (TUECs)

TUECs shall be constituted and act in accordance with the following guidelines:

6.1 TUECs should include at least three physicians with experience in the care and treatment of Players and a sound knowledge of clinical, sports and exercise medicine. In order to ensure a level of independence of decisions, a majority of the members of the TUEC should not have any official responsibility in the ITF. All members of the TUEC will sign a conflict of interest agreement. In applications involving Players with disabilities at least one TUEC member must possess specific experience with the care and treatment of Players with disabilities.

6.2 TUECs may seek whatever medical or scientific expertise they deem appropriate in reviewing the circumstances of any application for a TUE.

6.3 The WADA TUEC shall be composed following the criteria set out in article 6.1. The WADA TUEC is established to review on its own initiative TUE decisions granted by Anti-Doping Organisations. As specified in article 4.4 of the Code, the WADA TUEC, upon request by Players who have been denied TUEs by an Anti-Doping Organisation will review such decisions with the power to reverse them.

## 7.0 Therapeutic Use Exemption Application Process

7.1 A TUE will only be considered following receipt of a completed application form that must include all relevant documents (see appendix 1 – TUE form). The application process must be dealt with in strict accordance with the principles of medical confidentiality.

...

7.4 A Player may not apply to more than one Anti-Doping Organisation for a TUE. The application must identify the Player's sport and, where appropriate, discipline and specific position or role.

7.5 The application must list any previous and/or current requests for permission to use an otherwise Prohibited Substance or Prohibited Method, the body to whom that request was made, and the decision of that body.

7.6 The application must include a comprehensive medical history and the results of all relevant examinations, laboratory investigations and imaging studies relevant to the application.

7.7 Any additional relevant investigations, examinations or imaging studies requested by the TUEC of the ITF will be undertaken at the expense of the applicant or his/her national sport governing body.

7.8 The application must include a statement by an appropriately qualified physician attesting to the necessity of the otherwise Prohibited Substance or Prohibited Method in the treatment of the Player and describing why an alternative, permitted medication cannot, or could not, be used in the treatment of this condition.

7.9 The dose, frequency, route and duration of administration of the otherwise Prohibited Method or Prohibited Method in question must be specified.

7.10 Decisions of the TUEC will be conveyed in writing to the Player by the APA. Where a TUE has been granted to a Player in the Whereabouts Pool (as that term is defined at Article G.2.1 of the Programme, the Player and WADA will be promptly provided with an approval which includes information pertaining to the duration of the exemption and any conditions associated with the TUE.

7.11 a. Upon receiving a request by a Player for review, as specified in article 4.4 of the Code, the WADA TUEC will, as specified in Article E.5 of the Programme, be able to reverse a decision on a TUE granted under the Programme. The Player shall provide to the WADA TUEC all of the information for a TUE as submitted initially to the ITF accompanied by an application fee. Until the review process has been completed, the original decision remains in effect. The process should not take longer than 30 days following receipt of the information by WADA.

b. WADA can undertake a review at any time. The WADA TUEC will complete its review within 30 days.

7.12 If the decision regarding the granting of a TUE is reversed on review, the reversal shall not apply retroactively and shall not disqualify the Player's results during the period that the TUE had been granted and shall take effect no later than 14 days following notification of the decision to the Player.

## 8.0 Abbreviated Therapeutic Use Process

8.1 It is acknowledged that some substances included on the List of Prohibited Substances are used to treat medical conditions frequently encountered in the Player

population. In such cases, a full application as detailed in section 4, and section 7, is unnecessary. Accordingly an abbreviated process of the TUE is established.

8.2 The Prohibited Substances or Prohibited Methods which may be permitted by this abbreviated process are strictly limited to the following: Beta-2 agonists (formoterol, salbutamol, salmeterol and terbutaline) by inhalation, and glucocorticosteroids by non-systemic routes.

8.3 To use one of the substances above, the Player shall provide to the APA a medical notification justifying the therapeutic necessity. Such medical notification, as contained in Appendix 2, shall describe the name of the drug, dosage, route of administration and duration of the treatment. The diagnosis and when applicable any tests undertaken in order to establish that diagnosis should be included (without the actual results or details).

8.4 The abbreviated process includes:

- a. Approval for use of Prohibited Substances subject to the abbreviated process is effective upon receipt of a complete notification by the APA. Incomplete notifications must be returned to the Player.
- b. The APA shall advise promptly the ITF, the Player's National Association and NADO (as appropriate) and WADA on receipt of the notification.
- c. A notification for a TUE will not be considered for retroactive approval except: in emergency treatment or treatment of an acute medical condition was necessary, or due to exceptional circumstances there was insufficient time or opportunity for an applicant to submit, or a TUEC to receive, an application prior to Doping Control.

8.5 a. A review by the TUEC or the WADA TUEC can be initiated at any time during the duration of the TUE.

- b. If a Player requests a review of a denial of TUE, the WADA TUEC will have the ability to request from the Player additional medical information as deemed necessary, the expenses of which should be met by the Player.

8.6 A TUE may be cancelled by the TUEC or WADA TUEC at any time. The Player, the ITF, and all relevant Anti-Doping Organisations shall be notified immediately.

8.7 The cancellation shall take effect immediately following notification of the decision to the Player. The Player will nevertheless be able to apply under section 7 for a TUE.

## 9.0 Clearinghouse

9.1 Anti-Doping Organisations are required to provide WADA with all TUEs, and all supporting documentation, issued under section 7.

9.2 With respect to the abbreviated TUE, Anti-Doping Organisations shall provide WADA with medical applications submitted by Players issued under section 8.

9.3 The Clearinghouse shall guarantee strict confidentiality of all the medical information.

## Pt II. INTERNATIONAL STANDARD FOR TESTING

### 3.2 Defined Terms from the International Standard for Testing

Blood Collection Official: An official who is qualified to and has been authorised by the APA to collect a blood Sample from a Player.

Chain of Custody: The sequence of individuals or organisations who have the responsibility for a Sample/Specimen from the time it is provided to the time that it has been received by the laboratory for analysis.

Chaperone: An official who is trained and authorised by the ITF to carry out specific duties including notification of the Player selected for Sample collection, accompanying and observing the Player until arrival at the Doping Control Station, and/or witnessing and verifying the provision of the Sample where the training qualifies him/her to do so.

Doping Control Officer (or “DCO”): An official who has been trained and authorised by the ITF with delegated responsibility for the on-site management of a Sample Collection Session.

Doping Control Station: The location where the Sample Collection Session will be conducted.

Failure to Comply: A term used to describe Doping Offences in Articles C.3, C.4, C.5 and C.9 of the Programme.

Sample Collection Equipment: Containers or apparatus used to directly collect or hold the Player's Sample at any time during the Sample collection process. Sample Collection Equipment shall, as a minimum, consist of:

- For urine Sample collection:
  - Collection vessels for collecting the urine Sample as it leaves the Player's body;
  - Sealable and tamper-evident bottles and lids for securing the urine Sample;
- For blood Sample collection:
  - Needles for collecting the blood Sample;
  - Blood tubes with sealable and tamper-evident devices for holding the blood Sample.

Sample Collection Personnel: A collective term for qualified officials authorised by the ITF who may carry out or assist with duties during the Sample Collection Session.

Sample Collection Session: All of the sequential activities that directly involve the Player from notification until the Player leaves the Doping Control Station after having provided his/her Sample/s. ...

## 5.0 Notification of Players

### 5.1 Objective

To ensure that the selected Player is notified, the rights of the Player are maintained, there are no opportunities to manipulate the Sample to be provided and the notification is documented.

### 5.2 General

Notification of Players starts when the notification of the selected Player is initiated and ends when the Player arrives at the Doping Control Station or when the Player's possible failure to comply is brought to the APA's attention. The main activities are:

- a) Appointment of DCOs, Chaperones and other Sample Collection Personnel;
- b) Locating the Player and confirming his/her identity;
- c) Informing the Player that he/she has been selected to provide a Sample and of his/her rights and responsibilities;

- d) For No Advance Notice Sample collection, continuously chaperoning the Player from the time of notification to the arrival at the designated Doping Control Station; and
- e) Documenting the notification.

### 5.3 Requirements prior to notification of Players

5.3.1 No Advance Notice shall be the notification method for Out-of-Competition Sample collection whenever possible.

5.3.2 To conduct or assist with Sample Collection Sessions, the APA shall appoint and authorise 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 identification that is provided and controlled by the ITF. The minimum identification requirement is an official card/document demonstrating their authority to act on behalf of the ITF. For DCOs, additional identification requirements shall include their name, their photograph and the card's/document's expiry date. For Blood Collection Officials, additional identification requirements include evidence of their professional training in the collection of blood Samples.

5.3.4 To validate the identity of a Player selected to provide a Sample, the DCO may ask the Player to present a positive form of identification.

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

5.3.6 For Out-of-Competition Sample collection, the APA shall establish criteria to ensure that reasonable attempts are made to notify Players of their selection for Sample collection.

5.3.7 Reasonable attempts shall be defined by the APA and at a minimum shall consider alternative times of day/evening and alternative locations over a specified period of time from the initial notification attempt.

5.3.8 The APA shall establish a system for logging Player notification attempt/s and outcome/s.

5.3.9 The Player shall be the first one notified that he/she has been selected for Sample collection except where prior contact with a third party is required as specified in 5.3.10.

5.3.10 The APA/DCO/Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification of the Player when the Player is a Minor, where required by a Player's disability as provided for in Annex B (Modifications for Players with disabilities) or in situations where an interpreter is required for the notification.

5.3.11 If the Player cannot be contacted after having made reasonable attempts using the information supplied further to Article G.2.2 of the Programme and logging the attempts in accordance with 5.3.8, the DCO or APA, as applicable, shall institute the procedures set out in Annex A (Investigating a possible failure to comply).

5.3.12 The APA shall not re-schedule or change a Sample collection from No Advance Notice to advance notice except where an unexpected situation forces the need for an advanced notice Sample collection. Any such decision shall be recorded.

5.3.13 Notification for advance notice Sample collection shall be by any means that indicates the Player received the notice.

#### 5.4 Requirements for notification of Players

5.4.1 When initial contact is made, the APA, DCO or Chaperone, as applicable, shall ensure that the Player and/or a third party if required in accordance with 5.3.10, is informed:

- a) That the Player 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 Player's rights, including the right to:
  - i. Have a representative present during Sample collection and, if required, an interpreter;
  - ii. Ask for additional information about the Sample collection process;
  - iii. Request a delay in reporting to the Doping Control Station for valid reasons; and
  - iv. Request modifications as provided for in Annex B (Modifications for Players with disabilities).
- e) Of the Player's responsibilities, including the requirement to:
  - i. Remain within sight of the DCO/Chaperone at all times from the first moment of in-person notification by the DCO/Chaperone until the completion of the Sample collection procedure;
  - ii. Produce identification in accordance with 5.3.4; and

- iii. Comply with Sample collection procedures and the possible consequences of failure to comply; and
  - iv. Report to the Doping Control Station, unless delayed for valid reasons, as soon as possible and within 60 minutes of notification for a No Advance Notice Sample collection and 24 hours of receipt of notification for an advance notice Sample collection; and
- f) Of the location of the Doping Control Station.

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

- a) From this time until the Player leaves the Doping Control Station at the end of his/her Sample Collection Session, keep the Player under observation at all times.
- b) Identify themselves to the Player using their official ITF identification card/document;
- c) Confirm the Player's identity as per the criteria established in 5.3.4. Any failure to confirm the identity of the Player shall be documented. In such cases, the DCO responsible for conducting the Sample Collection Session shall decide whether it is appropriate to report the situation in accordance with Annex A (Investigating a possible failure to comply).

5.4.3 The Chaperone/DCO shall then have the Player sign an appropriate form to acknowledge and accept the notification. If the Player refuses to sign that he/she has been notified or evades the notification, the Chaperone/DCO shall inform the Player of the consequences of failing to comply if possible, 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 and report the circumstances to the APA. The DCO and APA shall follow the steps prescribed in Annex A (Investigating a possible failure to comply).

5.4.4 The DCO/Chaperone shall consider any reasonable request by the Player to delay reporting to the Doping Control Station within 60 mins of acknowledgement and acceptance of notification and approve or reject such requests as appropriate in accordance with 5.4.5 and 5.4.6. The DCO shall document the reasons for any such delay that may require further investigation by the APA. The first urine Sample post notification shall be collected.

5.4.5 A DCO may accept a request from a Player to delay reporting to the Doping Control Station beyond 60 mins, and/or once the Player arrives at the Doping Control Station and wishes to leave if the Player can be continuously chaperoned during the delay and if the request relates to the following activities:

- a) Participation in a victory ceremony;
- b) Fulfilment of media commitments;

- c) Competing in further Competitions;
- d) Performing a warm down;
- e) Obtaining necessary medical treatment;
- f) Locating a representative and/or interpreter.

The DCO shall document the reasons for delay in reporting to the Doping Control Station and/or reasons for leaving the Doping Control Station once arriving that may require further investigation by the APA.

5.4.6 A DCO/Chaperone shall reject a request for delay from a Player if it will not be possible for the Player to be continuously chaperoned.

5.4.7 When a Player notified of an advance notice Sample collection does not report to the Doping Control Station at the designated time, the DCO shall use his/her judgement whether to attempt to contact the Player. At a minimum, the DCO shall wait 30 minutes after the appointed time before departing. If the Player still has not reported by the time the DCO departs, the DCO shall follow the requirements of Annex A (Investigating a possible failure to comply).

5.4.8 If the Player reports to the Doping Control Station after the minimum waiting time and prior to the DCO's departure, the DCO shall decide as to whether to process a possible failure to comply. If at all possible the DCO shall proceed with collecting a Sample, and shall document the details of the delay in the Player reporting to the Doping Control Station.

5.4.9 If, while keeping the Player under observation, Sample Collection Personnel observe any matter with potential to compromise the test, the circumstances shall be reported to and documented by the DCO. If deemed appropriate by the DCO, the DCO shall follow the requirements of Annex A (Investigating a possible failure to comply).

## 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.

### 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 authorised to be present during a Sample Collection Session;
- c) Ensuring that the Doping Control Station meets the minimum criteria prescribed in 6.3.2;
- d) Ensuring that Sample Collection Equipment used meets the minimum criteria prescribed in 6.3.4.

### 6.3 Requirements for preparing for the Sample Collection Session

6.3.1 The APA shall establish a system for obtaining all the information necessary to ensure that the Sample Collection Session can be conducted effectively, including special requirements to meet the needs of Players with disabilities as provided in Annex B (Modifications for Players with disabilities).

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

6.3.3 The following persons may be present during the Sample Collection Session in addition to the Sample Collection Personnel:

- a) A Player may be accompanied by a representative and/or interpreter during the Sample Collection Session except when the Player is passing a urine Sample.
- b) A Minor Player is entitled, and the witnessing DCO/Chaperone is entitled, to have a representative observe the Chaperone when the Minor Player is passing a urine Sample, but without the representative directly observing the passing of the Sample unless requested to do so by the Minor Player.
- c) A Player with a disability may be accompanied by a representative as provided for in Annex B (Modifications for Players with disabilities).
- d) A WADA Independent Observer where applicable under the Independent Observer Program. The WADA Independent Observer shall not directly observe the passing of a urine Sample.

6.3.4 The DCO shall only use Sample Collection Equipment systems that are authorised by the APA, which at a minimum shall meet the following criteria. They shall:

- a) Have a unique numbering system incorporated into all bottles, containers, tubes or any other item used to seal the Player's Sample;
- b) Have a sealing system that is tamper evident;
- c) Ensure the identity of the Player is not evident from the equipment itself;
- d) Ensure that all equipment is clean and sealed prior to use by the Player.

## 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 of the Player.

### 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 collection documentation is complete. The main activities are:

- a) Preparing for collecting the Sample;
- b) Collecting the Sample; and
- c) Documenting the Sample collection.

### 7.3 Requirements prior to Sample collection

7.3.1 The APA 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 Player is informed of his/her rights and responsibilities as specified in 5.4.1.

7.3.3 The DCO shall provide the Player with the opportunity to hydrate.

7.3.4 The Player shall only leave the Doping Control Station under continuous observation by the DCO/Chaperone and with the approval of the DCO. The DCO shall consider any reasonable request by the Player to leave the Doping Control Station, as specified in 5.4.5 and 5.4.6, until the Player is able to provide a Sample.

7.3.5 If the DCO gives approval for the Player to leave the Doping Control Station, the DCO shall agree with the Player on:

- a) The purpose of the Player leaving the Doping Control Station; and
- b) The time of return (or return upon completion of an agreed activity).

The DCO shall document this information and the actual time of the Player's departure and return.

### 7.4 Requirements for Sample collection

7.4.1 The DCO shall collect the Sample from the Player 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

7.4.2 Any behaviour by the Player and/or persons associated with the Player or anomalies with potential to compromise the Sample collection shall be recorded. If appropriate, the APA and/or DCO, as applicable, shall institute Annex A (Investigating a possible failure to comply).

7.4.3 If there are doubts as to the origin or authenticity of the Sample, the Player shall be asked to provide an additional Sample. If the Player refuses to provide an additional Sample the DCO shall institute Annex A (Investigating a possible failure to comply).

7.4.4 The DCO shall provide the Player with the opportunity to document any concerns he/she may have about how the session was conducted.

7.4.5 In conducting the Sample Collection Session, the following information shall be recorded as a minimum:

- a) Date, time and type of notification (No Advance Notice, advance notice, In-Competition or Out-of-Competition);
- b) Date and time of Sample provision;
- c) The name of the Player;
- d) The date of birth of the Player;
- e) The gender of the Player;
- f) The Player's home address and telephone number;
- g) The Player's sport and discipline;
- h) The Sample code number;
- i) The name and signature of the Chaperone who witnessed the urine Sample provision;
- j) The name and signature of the Blood Collection Official who collected the blood Sample, where applicable;
- k) Required laboratory information on the Sample;
- l) Medications and supplements taken and recent blood transfusion details if applicable, within the timeframe specified by the lab as declared by the Player;
- m) Any irregularities in procedures;
- n) Player comments or concerns regarding the conduct of the session, if provided;
- o) The name and signature of the Player;
- p) The name and signature of the Player's representative, if required; and
- q) The name and signature of the DCO.

7.4.6 The Player and DCO shall sign appropriate documentation to indicate their satisfaction that the documentation accurately reflects the details of the Player's Sample Collection Session, including any concerns recorded by the Player. The Player's representative shall sign on behalf of the Player if the Player is a Minor. Other persons present who had a formal role during the Player's Sample Collection Session may sign the documentation as a witness of the proceedings. Any failure by a Player to record on

the documentation any concerns that he or she has at the time of the Sample Collection Session shall constitute a waiver thereof.

7.4.7 The DCO shall provide the Player with a copy of the records of the Sample Collection Session that have been signed by the Player.

## 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 their departure from the Doping Control Station.

### 8.2 General

Post-test administration begins when the Player has left the Doping Control Station after providing his/her Sample/s, and ends with preparation of all of the collected Samples and documentation for transport.

### 8.3 Requirements for security/post-test administration

8.3.1 The DCO shall ensure that any sealed Sample is stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station.

8.3.2 Without exception, all Samples collected shall be sent for analysis to a WADA-accredited laboratory or as otherwise approved by WADA.

8.3.3 The APA shall ensure that the documentation for each sealed Sample is completed and securely handled.

8.3.4 The APA shall ensure that, where required, instructions for the type of analysis to be conducted are provided to the WADA-accredited laboratory or as otherwise approved by WADA.

## 9.0 Transport of Samples and documentation

### 9.1 Objective

- a) To ensure that Samples and related documentation arrive at the WADA-accredited laboratory or as otherwise approved by WADA in proper condition to do the necessary analysis, and
- b) To ensure the Sample Collection Session documentation is sent by the DCO to the APA in a secure and timely manner.

## 9.2 General

Transport starts when the sealed Samples and documentation leave the Doping Control Station and ends with the confirmed receipt of the Samples and Sample collection documentation at their intended destinations.

The main activities are arranging for the secure transport of Samples and related documentation to the WADA-accredited laboratory or as otherwise approved by WADA, and arranging for the secure transport of Sample collection documentation to the APA.

## 9.3 Requirements for transport of Samples and documentation

9.3.1 The APA shall authorise a transport system that ensures Samples and documentation will be transported in a manner that protects their integrity, identity and security.

9.3.2 The APA shall develop a system for recording the Chain of Custody of the Samples and Sample collection documentation which includes confirming that both the Samples and Sample collection documentation have arrived at their intended destinations.

9.3.3 Sealed Samples shall always be transported to the WADA-accredited laboratory or as otherwise approved by WADA using the APA's authorised transport method as soon as practicable after the completion of the Sample Collection Session.

9.3.4 Documentation identifying the Player shall not be included with the Samples or documentation sent to the WADA-accredited laboratory or as otherwise approved by WADA.

9.3.5 The DCO shall send all relevant Sample Collection Session documentation to the APA using the APA's authorised transport method as soon as practicable after the completion of the Sample Collection Session.

9.3.6 Chain of Custody shall be checked by the APA if receipt of either the Samples with accompanying documentation or Sample collection documentation is not confirmed at their intended destination or a Sample's integrity or identity may have been compromised during transport. In this instance, the APA shall ask the Review Board to determine whether the Sample should be voided.

## Annex A - Investigating a possible failure to comply

### A.1 Objective

To ensure that any matters occurring before, during or after a Sample Collection Session that may lead to a determination of a failure to comply are assessed, acted upon and documented.

### A.2 Scope

Investigating a possible failure to comply begins when the APA or a DCO becomes aware of a matter with the potential to compromise a Player's test and ends when the APA takes appropriate follow-up action based on the outcomes of its investigation into the possible failure to comply.

### A.3 Responsibility

A.3.1 The APA is responsible for ensuring that:

- a) Any matters with the potential to compromise a Player's test are assessed to determine if a possible failure to comply has occurred;
- b) All relevant information, including information from the immediate surroundings when applicable, is obtained as soon as possible or when practicable to ensure that all knowledge of the matter can be reported and be presented as possible evidence; and
- c) Appropriate documentation is completed to report any possible failure to comply.

A.3.2 Sample Collection Personnel are responsible for reporting to the DCO any matter with the potential to compromise a test, and the DCO is responsible for reporting such matters to the APA.

### A.4 Requirements

A.4.1 Any matters with the potential to compromise the test shall be reported as soon as practicable.

A.4.2 If the matter has potential to compromise the test, the Player shall be notified if possible:

- a) Of the possible consequences;
- b) That a possible failure to comply will be investigated by the APA and appropriate follow-up action will be taken.

A.4.3 The necessary information about the possible failure to comply shall be obtained from all relevant sources as soon as possible and recorded.

A.4.4 If possible, the Player's Sample Collection Session shall be completed.

A.4.5 The APA shall establish a system for ensuring that the outcomes of its investigation into the possible failure to comply are considered for results management action and, if applicable, for further planning and Testing.

## Annex B - Modifications for Players with disabilities

### B.1 Objective

To ensure that the special needs of Players with disabilities are provided as much as possible in relation to the provision of a Sample.

### B.2 Scope

The scope of determining whether modifications need to be considered starts with identification of situations where Sample collection involves Players with disabilities and ends with the necessary modifications to Sample collection procedures and equipment as possible for these Players.

### B.3 Responsibility

The APA has responsibility for ensuring, when possible, that the DCO has any information and Sample Collection Equipment necessary to conduct a Sample Collection Session with a Player with a disability. The DCO has responsibility for the Sample collection.

### B.4 Requirements

B.4.1 All aspects of notification and Sample collection for Players with disabilities shall be carried out in accordance with the standard notification and Sample collection procedures unless modifications are necessary due to the Player's disability.

B.4.2 In planning or arranging Sample collection, the APA and DCO shall consider whether there will be any Sample collection for Players with disabilities that may require modifications to the standard procedures for notification or Sample collection, including Sample Collection Equipment and facilities.

B.4.3 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.

B.4.4 For Players with a physical disability or a sensorial disability, the Player can be assisted by the Player's representative or Sample Collection Personnel during the Sample Collection Session where authorised by the Player and agreed to by the DCO.

B.4.5 For Players with an intellectual disability, the APA or DCO shall determine whether the Player must have a representative at the Sample Collection Session and the nature of the assistance that the representative must provide. Additional assistance can be provided by the representative or Sample Collection Personnel during the Sample Collection Session where authorised by the Player and agreed to by the DCO.

B.4.6 The DCO can decide that alternative Sample Collection Equipment or facilities will be used when required to enable the Player to provide the Sample as long as the Sample's identity, security and integrity will not be affected.

B.4.7 Players who are using urine collection or drainage systems are required to eliminate existing urine from such systems before providing a urine Sample for analysis.

B.4.8 The DCO will record modifications made to the standard Sample collection procedures for Players with disabilities, including any applicable modifications specified in the above actions.

## Annex C - Collection of urine Samples

### C.1 Objective

To collect a Player's urine Sample in a manner that ensures:

- a) Consistency with relevant principles of internationally recognised standard precautions in healthcare settings so that the health and safety of the Player and Sample Collection Personnel are not compromised;
- b) The Sample is of a quality and quantity that meets laboratory guidelines;
- c) The Sample is clearly and accurately identified; and
- d) The Sample is securely sealed.

### C.2 Scope

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

### C.3 Responsibility

The DCO has the responsibility for ensuring that each Sample is properly collected, identified and sealed. 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 Player is informed of the requirements of the Sample collection, including any modifications as provided for in Annex B (Modifications for Players with disabilities).

C.4.2 The DCO shall ensure that the Player is offered a choice of appropriate equipment for collecting the Sample. If the nature of a Player's disability requires that he/she must use additional or other equipment as provided for in Annex B (Modifications for Players with disabilities), the DCO shall inspect that equipment to ensure that it will not affect the identity or integrity of the Sample.

C.4.3 The DCO shall instruct the Player to select a collection vessel.

C.4.4 When the Player selects a collection vessel and for selection of all other Sample Collection Equipment that directly holds the urine Sample, the DCO will instruct the Player to check that all seals on the selected equipment are intact and the equipment has not been tampered with. If the Player is not satisfied with the selected equipment, he/she may select another. If the Player is not satisfied with any of the equipment available for the selection, this shall be recorded by the DCO. If the DCO does not agree with the Player's opinion that all of the equipment available for the selection is unsatisfactory, the DCO shall instruct the Player to proceed with the Sample Collection Session. If the DCO agrees with the reasons put forward by the Player that all of the equipment available for the

selection is unsatisfactory, the DCO shall terminate the collection of the Player's urine Sample and this shall be recorded by the DCO.

C.4.5 The Player shall retain control of the collection vessel and any Sample provided until the Sample is sealed, unless assistance is required by a Player's disability as provided for in Annex B (Modifications for Players with disabilities).

C.4.6 The DCO/Chaperone who witnesses the passing of the Sample shall be of the same gender as the Player providing the Sample.

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

C.4.8 The DCO/Chaperone shall witness the Sample leaving the Player's body and record the witnessing in writing.

C.4.9 The DCO shall use the relevant laboratory's specifications to verify, in full view of the Player, that the volume of the urine Sample satisfies the laboratory's requirements for analysis. In the absence of such specification, a minimum of 70ml of urine shall be collected.

C.4.10 Where the volume of urine is insufficient, the DCO shall conduct a partial Sample collection procedure as prescribed in Annex E (Urine Samples – insufficient volume).

C.4.11 The DCO shall instruct the Player to select a Sample collection kit containing A and B bottles in accordance with C.4.4.

C.4.12 Once a Sample collection kit has been selected, the DCO and the Player shall check that all code numbers match and that this code number is recorded accurately by the DCO. If the Player or DCO finds that the numbers are not the same, the DCO shall instruct the Player to choose another kit in accordance with C.4.4. The DCO shall record the matter.

C.4.13 The Player shall pour the relevant laboratory's prescribed minimum volume of urine into the B bottle, and then fill the A bottle as much as possible. The Player shall then fill the B bottle as much as possible with the remaining urine. The Player shall ensure that a small amount of urine is left in the collection vessel.

C.4.14 The Player shall seal the bottles as directed by the DCO. The DCO shall check, in full view of the Player, that the bottles have been properly sealed.

C.4.15 The DCO shall use the relevant laboratory's guidelines for pH and specific gravity to test the residual urine in the collection vessel to determine if the Sample is

likely to meet the laboratory guidelines. If it is not, then the DCO shall follow Annex F (Urine Samples - Samples that do not meet laboratory pH and specific gravity guidelines).

C.4.16 The DCO shall ensure any residual urine that will not be sent for analysis is discarded in full view of the Player.

## Annex D - Collection of blood Samples

### D.1 Objective

To collect a Player's blood Sample in a manner that ensures:

- a) The health and safety of the Player 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 is clearly and accurately identified; and
- d) The Sample is securely sealed.

### D.2 Scope

The collection of a blood Sample begins with ensuring the Player is informed of the Sample collection requirements and ends with properly storing the Sample prior to dispatch for analysis at the WADA-accredited laboratory or as otherwise approved by WADA.

### 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 Blood Collection Official 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 for completing the Sample Collection Session.

### D.4 Requirements

D.4.1 Procedures involving blood shall be consistent with relevant principles of internationally-recognised standard precautions in health care settings.

D.4.2 Blood Sample Collection Equipment shall consist of either an A sample tube, or an A sample tube and a B sample tube. Where appropriate, a B sample shall be collected and used as a confirmation if required.

D.4.3 The DCO shall ensure that the Player is informed of the requirements of the Sample collection, including any modifications as provided for in Annex B (Modifications for Players with disabilities).

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

D.4.5 The DCO shall ensure the Player is offered comfortable conditions including being in a relaxed position for at least 10 minutes prior to providing a Sample.

D.4.6 The DCO shall instruct the Player 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 Player is not satisfied with a selected kit, he/she may select another. If the Player 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 Player's opinion that all of the available kits are unsatisfactory, the DCO shall instruct the Player to proceed with the Sample Collection Session. If the DCO agrees with the reasons put forward by the Player that all available kits are unsatisfactory, the DCO shall terminate the collection of the Player's blood Sample and this shall be recorded by the DCO.

D.4.7 When a Sample collection kit has been selected, the DCO and the Player shall check that all code numbers match and that this code number is recorded accurately by the DCO. If the Player or DCO finds that the numbers are not the same, the DCO shall instruct the Player to choose another kit in accordance with D.4.5. The DCO shall record the matter.

D.4.8 The Player shall be entitled to choose from which arm the Sample should be collected. The Blood Collection Official shall clean the skin on that arm with a sterile disinfectant wipe or swab in a location unlikely to adversely affect the Player or his/her performance and, if required, apply a tourniquet. The Blood Collection Official shall take the blood Sample from a superficial vein into the final collection container. 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. Save where a laboratory specifically requires otherwise, no more than 20ml of blood may be collected at any one time.

D.4.10 If the amount of blood that can be removed from the Player at the first attempt is insufficient, the Blood Collection Official shall repeat the procedure. Maximum attempts shall be two. Should all attempts fail, then the Blood Collection Official shall inform the DCO. The DCO shall terminate the collection of the blood Sample and record this and the reasons for terminating the collection.

D.4.11 The Blood Collection Official shall apply a dressing to the puncture site/s.

D.4.12 The Blood Collection Official shall dispose of used blood sampling equipment not required for completing the Sample Collection Session.

D.4.13 The Player shall seal his/her Sample into the Sample collection kit as directed by the DCO. In full view of the Player, the DCO shall check that the sealing is satisfactory.

D.4.14 The sealed Sample shall be kept at a cool, but not freezing, temperature prior to analysis at the Doping Control Station or dispatch for analysis at the WADA-accredited laboratory or as otherwise approved by WADA.

## Annex E - Urine Samples - Insufficient volume

### E.1 Objective

To ensure that where an insufficient volume of urine is provided, appropriate procedures are followed.

### E.2 Scope

The procedure begins with informing the Player that the Sample is of insufficient volume and ends with the 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 Player that a further Sample shall be collected to meet the relevant laboratory's volume requirements.

E.4.2 The DCO shall instruct the Player to select partial Sample Collection Equipment in accordance with C.4.4.

E.4.3 The DCO shall then instruct the Player to open the relevant equipment, pour the insufficient Sample into the container and seal it as directed by the DCO. The DCO shall check, in full view of the Player, that the container has been properly sealed.

E.4.4 The DCO and the Player shall check that the equipment code number, and the volume and identity of the insufficient Sample are recorded accurately by the DCO. Either the Player or the DCO shall retain control of the sealed partial Sample.

E.4.5 While waiting to provide an additional Sample, the Player shall remain under continuous observation and be given the opportunity to hydrate.

E.4.6 When the Player 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 When the DCO is satisfied that a sufficient volume of urine has been provided, the DCO and Player shall check the integrity of the seal/s on the partial Sample container/s containing the previously provided insufficient Sample/s. Any irregularity with the integrity of the seal/s will be recorded by the DCO and investigated according to Annex A (Investigating a possible failure to comply).

E.4.8 The DCO shall then direct the Player to break the seal/s and combine the Samples, ensuring that additional Samples are added sequentially to the first Sample collected until the required volume is met.

E.4.9 The DCO and Player shall then continue with C.4.11.

## Annex F - Urine Samples - Samples that do not meet laboratory pH or specific gravity guidelines

### F.1 Objective

To ensure that when the urine Sample does not meet the contracted laboratory pH or specific gravity guidelines, appropriate procedures are followed.

### F.2 Scope

The procedure begins with the DCO informing the Player that a further Sample is required and ends with the collection of a Sample that meets laboratory pH and specific gravity guidelines or appropriate follow-up action if required.

### F.3 Responsibility

The APA is responsible for establishing criteria for the number of additional Samples to be collected at the Player's Sample Collection Session. If the additional Sample/s collected do not meet the relevant laboratory's guidelines for analysis, the APA is responsible for scheduling a new Sample Collection Session for the Player and, if required, taking subsequent appropriate action. The DCO is responsible for collecting additional Sample/s in accordance with the APA's criteria.

### F.4 Requirements

F.4.1 The APA shall establish criteria for the number of additional Samples to be collected by the DCO when the DCO determines that a Player's Sample is unlikely to meet the relevant laboratory's pH or specific gravity guidelines.

F.4.2 The DCO shall inform the Player that he/she is required to provide a further Sample.

F.4.3 While waiting to provide an additional Sample, the Player shall remain under continuous observation.

F.4.4 When the Player is able to provide an additional Sample, the DCO shall repeat the procedures for collection of the Sample as prescribed in Annex C (Collection of urine Sample) and in accordance with the APA's criteria for the number of additional Samples to be collected as established in F.4.1.

F.4.5 The DCO shall record that the Samples collected belong to a single Player and the order in which the Samples were provided.

F.4.6 The DCO shall then continue with C.4.16.

F.4.7 If it is determined by the relevant laboratory that all of the Player's Samples do not meet the laboratory's pH and specific gravity requirements for analysis and this is

not related to natural causes, the APA shall schedule another Sample Collection Session for the Player as soon as possible.

F.4.8 If the subsequent Sample Collection Session also results in Samples that do not meet the laboratory's pH and/or specific gravity requirements for analysis, the APA shall investigate a possible anti-doping rule violation.

## 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 starts with the development of the necessary competencies for Sample Collection Personnel and ends with the provision of identifiable accreditation.

### G.3 Responsibility

The APA has the responsibility for all activities defined in this Annex G.

### G.4 Requirements - Qualifications and Training

G.4.1 The APA shall determine the necessary competence and qualification requirements for the positions of Doping Control Officer, Chaperone and Blood Collection Official. The APA shall develop duty statements for all Sample Collection Personnel that outline their respective responsibilities. As a minimum:

- a) Sample Collection Personnel shall be of adult age.
- b) Blood Collection Officials shall have adequate qualifications and practical skills required to perform blood collection from a vein.

G.4.2 The APA shall ensure that Sample Collection Personnel that have an interest in the outcome of the collection or testing of a Sample from any Player who might provide a Sample at a session are not appointed to that Sample collection session. Sample Collection Personnel are deemed to have an interest in the collection of a Sample if they are:

- a) Involved in the planning of the sport for which testing is being conducted;  
or
- b) Related to, or involved in the personal affairs of any Player who might provide a Sample at that session.

G.4.3 The APA shall establish a system that ensures that Sample Collection Personnel are adequately qualified and trained to carry out their duties.

G.4.4 The training program for Chaperones and Blood Collection Officers as a minimum shall include studies of all relevant requirements of the testing process and familiarisation of relevant standard precautions in healthcare settings.

G.4.5 The training program for Doping Control Officers as a minimum shall include:

- a) Comprehensive theoretical training in different types of testing activities relevant to the Doping Control Officer position;
- b) One observation of all doping control activities related to requirements in this standard, preferably on site;
- c) The satisfactory performance of one complete Sample collection on site under observation by a qualified Doping Control Officer or similar.  
The requirement related to actual passing of Sample shall not be included in the on site observations.

G.4.6 The APA 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 APA shall establish a system for accrediting and re-accrediting Sample Collection Personnel.

G.5.2 The APA shall ensure that Sample Collection Personnel have completed the training program and are familiar with the requirements in this testing standard before granting accreditation.

G.5.3 Accreditation shall only be valid for a maximum of two years. Sample Collection Personnel 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 that have an accreditation recognised by the APA shall be authorised by the APA to conduct Sample collection activities on behalf of the ITF.

G.5.5 Doping Control Officers 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 authorised duties.

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