



**The International Olympic Committee  
Anti-Doping Rules  
applicable to the XXII Olympic Winter Games in  
Sochi, in 2014**

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## PREAMBLE

The *International Olympic Committee (IOC)* is the supreme authority of the Olympic Movement and, in particular, the Olympic Games. Any *Person* belonging in any capacity whatsoever to the Olympic Movement is bound by the provisions of the Olympic Charter and shall abide by the decisions of the *IOC*.

The Olympic Charter reflects the importance that the *IOC* places on the fight against doping in sport and its support for the World Anti-Doping Code (the *Code*) as adopted by the *IOC*.

The *IOC* has established and adopted these *IOC* Anti-Doping Rules (*Rules*) in accordance with the *Code*, expecting that, in the spirit of sport, it will contribute to the fight against doping in the Olympic Movement. The *Rules* are complemented by other *IOC* documents, *International Standards* addressed throughout the *Rules* and the anti-doping rules of the relevant *IFs*.

Anti-doping rules, like competition rules, are sport rules governing the conditions under which sport is played. All *Participants (Athletes and Athlete Support Personnel)* and other *Persons* accept these *Rules* as a condition of participation and are presumed to have agreed to comply with the *Rules*.

The *IOC* Executive Board is responsible for establishing policies, guidelines and procedures with respect to the fight against doping, including anti-doping rule violation management and compliance with internationally accepted regulations, including the *Code*.

The President of the *IOC* appoints a Medical Commission which is responsible, in accordance with directions from the *IOC* Executive Board, for the implementation of these *Rules*.

The *IOC* Therapeutic Use Exemption Committee (TUEC) is the committee appointed by the *IOC* Medical Commission to assess each Therapeutic Use Exemption application (TUE).

Unless specifically directed in the *Code*, the *Person* responsible for the administration of the provisions thereof shall be the *IOC Medical Director*. The *IOC Medical Director* may delegate specific responsibilities to such *Person* or *Persons* at his discretion.

The meaning of the capitalised terms (appearing in italics) contained in these *Rules* are defined in Appendix 1 hereto.

In these *Rules*, the masculine gender used in relation to any physical *Person* shall, unless there is a specific provision to the contrary, be understood as including the feminine gender.

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

## ARTICLE 1 APPLICATION OF THE CODE - DEFINITION OF DOPING – BREACH OF THE RULES

1.1 The commission of an anti-doping rule violation is a breach of these *Rules*.

1.2 Subject to the specific following provisions of the *Rules* below, the provisions of the *Code* and of the *International Standards* apply *mutatis mutandis* in relation to the *Sochi Olympic Winter Games*.

## ARTICLE 2 ANTI-DOPING RULE VIOLATIONS

Article 2 of the Code applies to determine anti-doping rule violations, with the following amendments:

- (A) Possession of Prohibited Substances and Methods
  - (A.1) Possession by an Athlete of a Prohibited Substance or a Prohibited Method, unless the Athlete establishes that the Possession is pursuant to a therapeutic use exemption (“TUE”) granted in accordance with Article 3.2 (Therapeutic Use) or other acceptable justification.
  - (A.2) Possession of a Prohibited Substance or a Prohibited Method by Athlete Support Personnel in connection with an Athlete, Competition or training, unless the Athlete Support Personnel establishes that the Possession is pursuant to a TUE granted to an Athlete in accordance with Article 3.2 (Therapeutic Use) or other acceptable justification.

## ARTICLE 3 THE PROHIBITED LIST

### 3.1 Incorporation, Publication and Revision of the *Prohibited List*

These *Rules* incorporate the *Prohibited List* as published by WADA in accordance with Article 4.1 of the Code in force during the *Period of the Sochi Olympic Winter Games*.

The *NOCs* shall be responsible for ensuring that their delegations, including their *Athletes*, are made aware of such *Prohibited List*. Ignorance of the *Prohibited List* shall not constitute any excuse whatsoever for any participant in any capacity in the *Sochi Olympic Winter Games*.

### 3.2 Therapeutic Use

**3.2.1** *Athletes* with a documented medical condition requiring the use of a *Prohibited Substance* or a *Prohibited Method* must first obtain a TUE.

**3.2.2** It is expected that most *Athletes* entered to compete in the *Sochi Olympic Winter Games* who require a TUE will have already received the TUE from their *International Federation* or the relevant *Anti-Doping Organisation* in accordance with the *IF* rules. These *Athletes* are required to notify any other relevant *Anti-Doping Organisations* of their receipt of a TUE. Therefore it is required that, no later than the date of the opening of the Olympic village for the *Sochi Olympic Winter Games*, namely, 30 January 2014, the *International Federation* or the relevant *Anti-Doping Organisation* concerned must also notify the *Athlete’s NOC*, *WADA* and the *IOC Medical Commission*.

**3.2.3** The *IOC* Medical Commission shall appoint a committee of at least three physicians (the "TUEC") to assess existing TUEs and to consider new requests for TUEs. *Athletes* who do not already have an approved TUE may apply to obtain a TUE from the *IOC*. The TUEC shall forthwith evaluate such new requests in accordance with the *International Standard* for Therapeutic Use Exemptions and render a decision on such request, which shall be the final decision of the *IOC*. The *IOC* Medical Commission shall promptly inform the *Athlete*, the *Athlete's NOC*, *WADA* and the relevant *International Federation* of its decision. Such decision shall only be valid during the *Period of the Sochi Olympic Winter Games*. The *IOC* Medical Commission shall inform *WADA* prior to the 1<sup>st</sup> day of the *Sochi Olympic Winter Games* of all TUEs that it has received and deliver a copy so that *WADA* can exercise its prerogative under Article 3.2.3.1.

**3.2.3.1** *WADA*, at the request of an *Athlete*, the *IOC* or on its own initiative, may review the granting or denial of any TUE to an *Athlete*. If *WADA* determines that the granting or denial of a TUE did not comply with the *International Standard* for Therapeutic Use Exemptions then *WADA* may reverse that decision. Decisions on TUE's are subject to further appeal as provided in Article 11.

**3.2.4** All TUEs must be managed, requested and declared through ADAMS except in justified circumstances.

## **ARTICLE 4 DOPING CONTROL**

### **4.1 Doping Control Responsibilities**

The *IOC* is responsible for *Doping Control* during the *Period of the Sochi Olympic Winter Games*. The *IOC* is entitled to delegate all or part of its responsibility for *Doping Control* to one or several other organisations.

The *Period of the Sochi Olympic Winter Games*, , is defined as "the period commencing on the date of the opening of the Olympic village for the *Sochi Olympic Winter Games*, namely, 30 January 2014 up until and including the day of the closing ceremony of the *Sochi Olympic Winter Games*, namely, 23 February 2014".

All *Athletes* participating at the *Sochi Olympic Winter Games* shall be subject, during the *Period of the Sochi Olympic Winter Games*, to *Doping Control* initiated by the *IOC* at any time or place, with *No Advance Notice*. Such *Doping Control* shall be deemed to be *In-Competition* for purposes of the *Prohibited List*, and therefore may include *Testing* for all *Prohibited Substances* and all *Prohibited Methods* referred to in the *Prohibited List*.

The *IOC* shall have the right to conduct or cause to conduct *Doping Control* during the *Period of the Sochi Olympic Winter Games*, and is responsible for the subsequent handling of such cases.

### **4.2 Delegation of responsibility, overseeing and monitoring of Doping Control**

**4.2.1** The *IOC* will delegate the responsibility for implementing parts of the *Doping Control* to the organising committee for the *Sochi Olympic Winter Games (SOCHI 2014)*, in particular *Testing*.

The *IOC* Medical Commission will be responsible for overseeing all *Doping Control* conducted by *SOCHI 2014* and any other *Anti-Doping Organisations (ADOs)* providing services under its authority.

**4.2.2** *Doping Control* may be monitored by members of the *IOC Medical Commission* or by other qualified *Persons* so authorised by the *IOC*.

**4.2.3** The *IOC* has the authority to appoint any other *Anti-Doping Organization* it deems appropriate to carry out *Doping Control* on its behalf.

### **4.3 Doping Control Standards**

*Doping Control* conducted by the *IOC*, *SOCHI 2014* and any other *Anti-Doping Organization* under Article 4.2.3 shall be in conformity with the *International Standard for Testing* in force at the time of *Doping Control*.

There are a number of binding criteria established by the *IOC* in accordance with the *International Standard for Testing*. These criteria and other *IOC Doping Control* requirements are outlined in Appendix 2 to these *Rules*.

The technical operations of the *Doping Control* program at the *Sochi Olympic Winter Games* by *SOCHI 2014* are addressed in the "Technical Procedures relating to *Doping Control*", a copy of which is attached as Appendix 3 to these *Rules*.

### **4.4 Coordination of the Sochi Olympic Winter Games Doping Control**

In order to deliver an effective anti-doping program for the *Sochi Olympic Winter Games* and to avoid unnecessary duplication in *Doping Control*, the *IOC* will work with the *WADA*, the *International Federations*, other *Anti-Doping Organisations* and the *NOCs* to ensure that there is coordination of the *Doping Control* during the *Period of the Sochi Olympic Winter Games*.

The *IOC* shall also report information about all completed tests, including results, to *WADA Independent Observers*.

### **4.5 Athlete Whereabouts Requirements**

**4.5.1** Each *NOC* is required to ensure that each *Athlete* participating on its behalf in the *Sochi Olympic Winter Games* provides to the *IOC*, whereabouts information (if applicable as per the *Athlete's* registration in a *Registered Testing Pool*) and information as to his or her location during the *Period of the Sochi Olympic Winter Games*, so that the *IOC* can locate each such *Athlete* accordingly during that period.

The *NOC* has to provide for all *Athletes* (whether or not registered in a *Registered Testing Pool* of an *International Federation* or of a *National Anti-Doping Organisation*) accommodation details, rooming lists and training schedules and locations for the *Period of the Sochi Olympic Winter Games*, in the manner requested by the *IOC*.

In addition, the *NOC* shall ensure that:

**4.5.1.1** all *Athletes* participating on its behalf in the *Sochi Olympic Winter Games* registered in their *International Federation Registered Testing Pool* comply with their obligations and make their whereabouts information for the *Period of the Sochi Olympic Winter Games* available to the *IOC*; or

**4.5.1.2** all *Athletes* participating on its behalf in the *Sochi Olympic Winter Games* registered in their *NADO's Registered Testing Pool* comply with their obligations and make their whereabouts information for the *Period of the Sochi Olympic Winter Games* available to the *IOC*.

Whereabouts information referred to under Articles 4.5.1.1 or 4.5.1.2 above should be declared (and, where necessary, updated) by the *Athlete*, and made available to the *IOC*, through ADAMS or any similar system acceptable to the *IOC* and to which the *IOC* has access (e.g. SIMON).

- 4.5.2 Each *NOC* is required to ensure that such *Athlete* participating on its behalf in the *Sochi Olympic Winter Games* and included in a *Registered Testing Pool* is notified in the manner required by Article 11.3.5(a) and Article 11.4.3(a) of the *International Standard for Testing*. Each *NOC* shall provide a written confirmation from the relevant *Responsible ADO* to this effect to the *IOC*, at the latest 30 days prior to the start of the *Period of the Sochi Olympic Winter Games*.
- 4.5.3 *Athletes* shall update the information in their *Whereabouts Filing* as necessary during the *Period of the Sochi Olympic Winter Games*, so that it is accurate and complete at all times in accordance with the requirements of the *Anti-Doping Organization* handling the *Registered Testing Pool* to which the *Athletes* belong.
- 4.5.4 The ultimate responsibility for providing whereabouts information rests with each *Athlete* who is registered in a *Registered Testing Pool*. Any alleged act or omission on the part of the *NOC* shall be no defence to an allegation that the *Athlete* has failed to comply with the whereabouts requirements of these *Rules*. Without prejudice thereto, it shall be the responsibility of each *NOC* (a) to ensure that the whereabouts information set out above is provided to the *IOC* in respect of such *Athlete* participating on behalf of the *NOC* in the *Sochi Olympic Winter Games* and included in a *Registered Testing Pool* and (b) to the extent permitted by the relevant *ADO* handling the *Registered Testing Pool*, monitor and manage the whereabouts information during the *Period of the Sochi Olympic Winter Games* for each such *Athlete*.
- 4.5.5 An *Athlete* registered in a *Registered Testing Pool* shall make himself/herself available for *Testing* at such whereabouts, and in particular in accordance with Article 11.4 of the *International Standard for Testing*.
- 4.5.6 Any *NOC* which fails to comply with the requirements in relation to whereabouts information and provision of other information such as training schedules and rooming lists as set out in these *Rules*, may be subject to sanctions, in particular pursuant to Article 10 of these *Rules*.
- 4.5.7 Whereabouts information provided shall be shared with *WADA* and other *Anti-Doping Organisations* having jurisdiction to test an *Athlete* during the *Period of the Sochi Olympic Winter Games* on the strict condition that it be kept confidential and be used only for *Doping Control* purposes.
- 4.5.8 The *NOC* is responsible for providing the information required in Articles 4.5 and 6.2.4 in relation to the *Period of the Sochi Olympic Winter Games* and making it available to the *IOC* in advance and in any event no later than two weeks prior to the start of the *Period of the Sochi Olympic Winter Games*. The *NOC* shall also be responsible for ensuring that any such information is kept up to date and such updates are made available to the *IOC*.

#### **4.6 Selection of *Athletes* to be Tested**

- 4.6.1 The *IOC*, in consultation with *SOCHI 2014* and the relevant *International Federations*, shall determine the number of tests to be performed during the *Period of the Sochi Olympic Winter Games*.

A significant amount of *Testing* shall be *Target Testing* and the other *Testing* shall be determined by *Random Selection*.

Appendix 3 details the relevant factors for *Target Testing* as well as the technical procedures relating to *Doping Control* by *SOCHI 2014*.

#### **4.7 Independent Observers:**

The *IOC* and *SOCHI 2014* shall provide full and complete access to *Independent Observers* who are responsible for and conduct the *Independent Observer Program* for the *Doping Control* upon the occasion of the *Sochi Olympic Winter Games*.

## **ARTICLE 5 ANALYSIS OF SAMPLES**

*Samples* shall be analysed in accordance with Article 6 of the Code and the following principles:

### **5.1 Storage of Samples and delayed analysis**

*Samples* shall be stored in a secure manner at the laboratory or as otherwise directed by the *IOC* and may be further analysed. Consistent with Article 17 of the *Code*, the ownership of the samples is vested in the *IOC* for eight years. During this period, the *IOC* shall have the right to re-analyse *Samples*, it being understood that the relevant *International Standards*, as they may be amended from time to time, shall apply as appropriate. Any anti-doping rule violation discovered as a result thereof shall be dealt with in accordance with these *Rules*.

After this period of eight years and provided the Athlete has given his/her written consent at the time of collection of the samples, the ownership of the samples shall be transferred to the laboratory for purposes of research, provided that all means of identification of the *Athletes* will be removed and destroyed and that proof of this destruction shall be provided to the *IOC*.

## **ARTICLE 6 DISCIPLINARY PROCEDURE WITH RESPECT TO ALLEGED ANTI-DOPING RULE VIOLATIONS ARISING UPON THE OCCASION OF THE OLYMPIC GAMES**

### **6.1 General Principles**

**6.1.1** These *Rules*, in particular this Article 6, set forth the applicable procedure in order to establish any anti-doping rule violation, to identify the *Athlete* or other *Person* concerned and to apply the measures and sanctions set forth in the Olympic Charter and the *Code*.

**6.1.2.** Any anti-doping rule violation arising upon the occasion of the *Sochi Olympic Winter Games* will be subject to the measures and sanctions set forth in Rule 59 of the Olympic Charter and its Bye-law, and/or in the *Code*.

**6.1.3** Any measure or sanction applying to any anti-doping rule violation arising upon the occasion of the *Sochi Olympic Winter Games* will be pronounced in accordance with Rule 59 of the Olympic Charter and its Bye-law.

**6.1.4** Pursuant to Rule 59.2.4 of the Olympic Charter, the *IOC* Executive Board delegates to a Disciplinary Commission, as established pursuant to Article 6.2.5 below (the “Disciplinary Commission”) all its powers, except:

- (i) the power to pronounce, with regard to *IOC* members, the honorary President, honorary members and honour members, a reprimand or suspension (Rule 59.1.1 of the Olympic Charter);
- (ii) the power to pronounce, with regard to *IFs*, the withdrawal from the programme of the *Sochi Olympic Winter Games* of a discipline or event (Rule 59.1.2(a) of the Olympic Charter) as well as the withdrawal of provisional recognition of an *IF* or of an association of *IFs* (Rules 59.1.2(b) and 59.1.3(a) of the Olympic Charter);
- (iii) the power, with regard to *NOCs*, to pronounce the suspension, or the withdrawal of provisional recognition of an *NOC* or of an association of *NOCs* or another recognized association or organisation (Rules 59.1.4(a) and (b), 59.1.5(a) and 59.1.8(a) of the Olympic Charter);
- (iv) in the context of the *Sochi Olympic Winter Games*, with regard to individual competitors, teams, officials, managers, other members of any delegation as well as referees and members of the jury: the power to pronounce permanent *ineligibility* or exclusion from future Olympic Games (Rules 59.2.1 and 59.2.2 of the Olympic Charter).

In addition, the *IOC* President, when setting up a Disciplinary Commission pursuant to Article 6.2.5 below, may decide, at his discretion, that all measures and sanctions in a given case will be pronounced by the *IOC* Executive Board, in which case the Disciplinary Commission’s powers will be those as set forth in Article 6.1.5 and 6.1.7 below.

**6.1.5** In all procedures relating to any anti-doping rule violations arising upon the occasion of the *Sochi Olympic Winter Games*, the right of any *Person* to be heard pursuant to paragraph 3 to Bye-law to Rule 59 of the Olympic Charter will be exercised solely before the Disciplinary Commission. The right to be heard includes the right to be acquainted with the charges and the right to appear personally in front of the Disciplinary Commission or to submit a defence in writing, at the option of the *Person* exercising his right to be heard.

**6.1.6** In all cases of anti-doping rule violations arising upon the occasion of the *Sochi Olympic Winter Games* for which the *IOC* Executive Board has delegated all its powers to the Disciplinary Commission, the said Disciplinary Commission will decide on the measure and/or sanction to be pronounced. Such decision, which the Disciplinary Commission shall promptly communicate to the *IOC* President and the *IOC* Executive Board, shall constitute the decision by the *IOC*.

**6.1.7** In all cases of anti-doping rule violations arising upon the occasion of the *Sochi Olympic Winter Games* for which the *IOC* Executive Board has retained its powers (see Article 6.1.4 above), the Disciplinary Commission will provide to the *IOC* Executive Board a report on the procedure conducted under the authority of the Disciplinary Commission, including a proposal to the *IOC* Executive Board as to the measure and/or sanction to be decided upon by the *IOC* Executive Board. In such case, the proposal of the Disciplinary Commission shall not be binding upon the *IOC* Executive Board, whose decision shall constitute the decision by the *IOC*.

## 6.2 Procedures

### 6.2.1 Identification of *adverse analytical finding* and/or other apparent anti-doping rules violation, informing Chairman of IOC Medical Commission:

The head of a laboratory which identifies an *adverse analytical finding* (e.g. with respect to the A sample), or the *Person* who alleges that any other anti-doping rule violation has been committed, shall immediately inform the Chairman of the IOC Medical Commission or the person designated by him and provide him, by secure fax, confidential hand delivery, by secure and confidential electronic notification or in any other confidential written manner, with a detailed report containing the results of the *adverse analytical finding* and the documentation relating to the analyses performed or the relevant information relating to such other apparent anti-doping rule violation.

### 6.2.2 Verification of validity of anti-doping rule violation:

The Chairman of the IOC Medical Commission, assisted by the IOC Medical Director, shall identify the *Athlete* or other *Person* being charged with an anti-doping rule violation and verify whether it is in fact an *adverse analytical finding* (e.g. that there is no TUE) or whether it appears that any other anti-doping rule violation may have been committed. The Chairman of the IOC Medical Commission, assisted by the IOC Medical Director, shall also determine whether there is any apparent departure from the *International Standard for Testing* or the *International Standard for Laboratories* that caused the *adverse analytical finding*.

### 6.2.3 Informing the IOC President:

If the review under Article 6.2.2 above does not reveal an applicable TUE or departure from the *International Standards* that caused the *adverse analytical finding*, the Chairman of the IOC Medical Commission or a person designated by him shall immediately inform the IOC President of the existence of the *adverse analytical finding*, or other apparent anti-doping rule violation, and the essential details available to him concerning the case.

### 6.2.4 Results management in the case of violation of whereabouts requirements

**6.2.4.1** The IOC shall be responsible for declaring any apparent *Missed Test* of *Athletes* relating to the *Period of the Sochi Olympic Winter Games* in accordance with the *International Standard for Testing*. The NOC shall assist the IOC in obtaining any and all necessary information or document in relation to the management of an alleged *Missed Test* relating to an *Athlete* of its delegation. Where an *Athlete* is in his/her *International Federation's* or NADO's *Registered Testing Pool*, his/her NOC shall ensure that the *International Federation* or NADO (as applicable) delegates, to the extent necessary, this responsibility to the IOC in accordance with Article 11.7.2 or Article 11.7.4 (as applicable) of the *International Standard for Testing*.

**6.2.4.2** The IOC will declare such apparent *Missed Test* in accordance with Article 11.6 of the *International Standard for Testing*, provided that the time-limits set out in Article 11.6 will be truncated to reflect the nature of the *Sochi Olympic Winter Games*, so that the deadline for the *Athlete* at each step of the procedure shall be 24 hours from receipt of the relevant notice from the IOC.

**6.2.4.3** Each *NOC* shall ensure that the *IOC* is advised prior to the start of the *Sochi Olympic Winter Games* of any *Filing Failures* or *Missed Tests* that have been declared against each *Athlete* participating in the *Sochi Olympic Winter Games* on the *NOC*'s behalf in the 18-month period prior to the start of the *Period of the Sochi Olympic Winter Games*. Where requested by the *IOC*, the *NOC* shall ensure that the full file(s) relating to such declared *Whereabouts Failure(s)* is(are) provided to the *IOC* without delay.

**6.2.4.4** Where the *IOC* declares a *Missed Test* against an *Athlete* which constitutes the third *Whereabouts Failure* declared against the *Athlete* in the 18-month period up to and including the date of that third *Whereabouts Failure*, then the Chairman of the *IOC Medical Commission* or a person designated by him shall immediately inform the *IOC President* of the existence of an apparent anti-doping rule violation under Article 2.4 of the Code or other applicable anti-doping rules. The President may decide to set up a *Disciplinary Commission* in relation to such potential violation of the Code or other applicable anti-doping rules and the Chairman of such *Disciplinary Commission* may decide to provisionally suspend the *Athlete* as per article 6.2.8 hereof, pending the final decision of his/her *Responsible ADO* on the violation of the Code or of any other anti-doping rules adopted in compliance with the Code.

#### **6.2.5 Setting up of the Disciplinary Commission:**

The *IOC President* shall promptly set up a *Disciplinary Commission*. This Commission shall consist of a Chairman, who shall be the Chairman of the *IOC Juridical Commission* or a member of such Commission designated by the *IOC President*, plus two other persons who are members of the *IOC Executive Board* and/or of the *IOC Juridical Commission*. The *Disciplinary Commission* shall be assisted by the *IOC Legal Department* and the *IOC Medical and Scientific Department*.

#### **6.2.6 Notifying Athlete or other Persons concerned of the anti-doping rule violation:**

The *IOC President* or a person designated by him shall promptly notify the *Athlete* or other *Person* concerned, the *Athlete's* or other *Person's* chef de mission, the *International Federation* concerned and a representative of the *Independent Observer Program* of:

- a) the *adverse analytical finding*;
- b) the *Athlete's* right to request the analysis of the B sample or, failing such request, that the B sample analysis may be deemed waived;
- c) the scheduled date, time and place for the B *Sample* analysis if the *Athlete* chooses to request an analysis of the B *Sample* or if the *IOC* chooses to have the B sample analysed;
- d) the right of the *Athlete* and/or the *Athlete's* representative to attend the B sample opening and analysis if such analysis is requested;
- e) the *Athlete's* right to request copies of the A and B sample laboratory package, which includes information as required by the *International Standard for Laboratories*;
- f) the anti-doping rule violation or, where applicable, instead of the information in (a) to (e), the factual basis of the other anti-doping rule violation(s), and if applicable, the additional investigation that will be conducted as to whether there is an anti-doping rule violation;

g) the composition of the Disciplinary Commission.

It shall be the responsibility of the chef de mission to inform the relevant *National Anti-Doping Organisation* of the *Athlete*.

#### **6.2.7 Exercise of the right to be heard:**

Included in the notification referred to in Article 6.2.6 above, the *IOC* President or a person designated by him shall offer the *Athlete*, or other *Person*, and his chef de mission the option to either attend a hearing of the Disciplinary Commission, or to submit a defence in writing. If the *Athlete*, or other *Person*, and his chef de mission elect to attend a hearing of the Disciplinary Commission, the *Athlete* or other *Person* may be accompanied or represented at the hearing by *Persons* of their choice (e.g. lawyer, doctor, etc.), with a maximum of three for each of the *Athlete* or other *Person*. The President of the *International Federation* concerned, or his representative, as well as a representative of the *Independent Observer Program* shall also be invited to attend the hearing. If the *Athlete* or other *Person* and/or his chef de mission elect not to attend a hearing of the Disciplinary Commission, they may submit a defence in writing, which should be delivered to the Disciplinary Commission within the deadline set forth by the Disciplinary Commission to that effect.

If the *Athlete* or other *Person* concerned and/or his delegation have already left the Olympic host city, the Chairman of the Disciplinary Commission shall take reasonable measures that he considers appropriate in the circumstances in order that a decision can be made as quickly as possible in accordance with these *Rules*.

#### **6.2.8 Provisional Suspension:**

The Chairman of the Disciplinary Commission may impose a *Provisional Suspension* upon the *Athlete* or other *Person* concerned until the decision has been pronounced by the Disciplinary Commission or the *IOC* Executive Board, as the case may be. The Chairman of the Disciplinary Commission may also impose a *Provisional Suspension* in other relevant cases, in particular as described in article 6.2.4.4 hereof.

#### **6.2.9 Nature and circumstances of violation; adducing evidence:**

The Disciplinary Commission shall determine the nature and circumstances of any anti-doping rule violation which may have been committed. It shall allow the *Athlete* or other *Person* concerned an opportunity to adduce any relevant evidence, which does not require the use of disproportionate means (as decided by the Disciplinary Commission), which the *Athlete* or other *Person* deems helpful to the defence of his case in relation to the result of the test, or other anti-doping rule violation, either orally, before the Commission, or in writing, as the *Athlete* or other *Person* concerned so wishes.

#### **6.2.10 Opinion of experts, adducing other evidence:**

The Disciplinary Commission may seek the opinion of experts or obtain other evidence on its own motion.

#### **6.2.11 Intervention of *International Federation* concerned:**

The *International Federation* concerned, if it has chosen to take part in the discussions, may intervene as an interested third party and adduce evidence. To the extent that the *Athlete* is a member of a *Team Sport*, or is participating in a sport that is not a *Team Sport* but where awards are given to teams, the *International Federation* shall help ensure that the sanctions imposed by the *IOC* are as provided in the applicable rules of the relevant *International Federation*.

#### **6.2.12 Extending the procedure to other *Persons*:**

If, at any time (i.e. before, during or after the hearing), circumstances suggest such a course of action, the Disciplinary Commission may propose extending the procedure to any other *Person(s)* (particularly among the *Athlete's* entourage) subject to *IOC* jurisdiction who may have contributed to the apparent anti-doping rule violation. In such an event, it shall submit a report to the *IOC* President, who will take a decision in this regard. If the *IOC* President decides to initiate a procedure with regard to such other *Person(s)*, he will decide if this will take place in the form of an independent procedure or as part of the on-going procedure. In any event, these rules of procedure and general provisions shall apply *mutatis mutandis* to such other *Person(s)*.

#### **6.2.13 Notifying the *Athlete* and other parties concerned of decision:**

The *IOC* President, or a *Person* designated by him, shall promptly notify the *Athlete* or other *Person* concerned, the chef de mission, the *International Federation* concerned, a representative of the *Independent Observer Program* and the *WADA* of the decision of the Disciplinary Commission or of the *IOC* Executive Board, as the case may be, by sending a full copy of the decision to the addressees.

#### **6.2.14 Time Limit:**

The entire disciplinary procedure shall not exceed 24 hours from the time the *Athlete* or other *Person* concerned is informed of such anti-doping rule violation.

However, the *IOC* President may decide to extend this time limit depending upon specific circumstances of a case.

### **6.3 General Provisions**

#### **6.3.1 Conflict of interest:**

No *Person* may be a member of the *IOC* Disciplinary Commission if he (i) has the same nationality as the *Athlete*, or other *Person*, concerned; (ii) has any declared or apparent conflict of interest with such *Athlete*, the *National Olympic Committee* or *International Federation* of such *Athlete* or any *Person* whatsoever involved in the case; or (iii) in any way whatsoever, does not feel himself to be free and independent.

#### **6.3.2 Violation of procedures and other provisions:**

No violation of the above-noted procedures and other provisions related thereto can be invoked if the *Athlete* or other *Person* involved has not been prejudiced by such violation.

### **6.3.3 Deemed Notification**

Notice to an *Athlete* or other *Person* who has been accredited pursuant to the request of the *NOC*, may be accomplished by delivery of the notice to the *NOC*. Notification to the Chef de Mission or the President or Secretary General of the *NOC* of the *Athlete* or other *Person* shall be deemed to be a delivery of notice to the *NOC*.

## **ARTICLE 7 AUTOMATIC DISQUALIFICATION OF INDIVIDUAL RESULTS, INELIGIBILITY FOR OLYMPIC GAMES**

### **7.1 Automatic Disqualification:**

A violation of these *Rules* in *Individual Sports* in connection with *Doping Control* automatically leads to *Disqualification* of the *Athlete's* results in the *Competition* in question, with all other consequences, including forfeiture of any medals, points and prizes.

### **7.2 Ineligibility:**

Should an *Athlete* be found to have committed an anti-doping rule violation before he has actually participated in a *Competition* at the *Sochi Olympic Winter Games* or, in the case where an *Athlete* has already participated in a *Competition* at the *Sochi Olympic Winter Games* but is scheduled to participate in additional *Competitions* at the *Sochi Olympic Winter Games*, the Disciplinary Commission or the *IOC Executive Board*, as the case may be, may declare the *Athlete* ineligible for such *Competitions* at the *Sochi Olympic Winter Games* in which he has not yet participated, along with other sanctions which may follow, such as exclusion of the *Athlete* and other *Persons* concerned from the *Sochi Olympic Winter Games* and the loss of accreditation.

### **7.3 Temporary or Permanent Ineligibility**

The Disciplinary Commission or the *IOC Executive Board*, as the case may be, may declare the *Athlete*, as well as other *Persons* concerned, temporarily or permanently ineligible for editions of the Games of the Olympiad and the Olympic Winter Games subsequent to the *Sochi Olympic Winter Games*.

## **ARTICLE 8 SANCTIONS ON INDIVIDUALS**

### **8.1 Disqualification of Sochi Olympic Winter Games Results**

An anti-doping rule violation occurring during or in connection with the *Sochi Olympic Winter Games* may lead to *Disqualification* of all of the *Athlete's* results obtained in the *Sochi Olympic Winter Games* with all consequences, including forfeiture of all medals, points and prizes, except as provided in Article 8.1.1.

**8.1.1** If the *Athlete* establishes that he or she bears *No Fault or Negligence* for the violation, the *Athlete's* results in the *Competitions* (for which the *Athlete's* results have not been automatically *Disqualified* as per Article 7.1 hereof) shall not be *Disqualified* unless the *Athlete's* results in *Competitions* other than the *Competition* in which the anti-doping rule violation occurred were likely to have been affected by the *Athlete's* anti-doping rule violation.

## **8.2 Status During *Ineligibility***

No *Person* who has been declared *Ineligible* may, during the period of *Ineligibility*, participate in any capacity in the *Sochi Olympic Winter Games*.

## **8.3 Consequences of Anti-Doping Rule Violations beyond *Disqualification*:**

The *Consequences of Anti-Doping Rule Violations* and the conduct of additional hearings as a consequence of hearings and decisions of the *IOC*, including with regard to the imposition of sanctions over and above those relating to the *Sochi Olympic Winter Games*, shall be managed by the relevant *International Federations*.

# **ARTICLE 9 CONSEQUENCES TO TEAMS**

**9.1** Where more than one member of a team in a *Team Sport* has been notified of a possible anti-doping rule violation under Article 6 in connection with the *Sochi Olympic Winter Games*, the team shall be subject to *Target Testing* for the *Sochi Olympic Winter Games*.

In *Team Sports*, if more than one team member is found to have committed an anti-doping rule violation during the *Period of the Sochi Olympic Winter Games*, the team may be subject to *Disqualification* or other disciplinary action, as provided in the applicable rules of the relevant *International Federation*.

In sports which are not *Team Sports* but where awards are given to teams, if one or more team members have committed an anti-doping rule violation during the *Period of the Sochi Olympic Winter Games*, the team may be subject to *Disqualification*, and/or other disciplinary action as provided in the applicable rules of the relevant *International Federation*.

# **ARTICLE 10 FINANCIAL AND OTHER SANCTIONS ASSESSED AGAINST NATIONAL OLYMPIC COMMITTEES AND INTERNATIONAL FEDERATIONS**

**10.1** The *IOC* Executive Board has the authority, in addition to the other powers it possesses, to withhold some or all funding or other non financial support to *NOCs* and *International Federations* that are not in compliance with these *Rules*.

**10.2** The *IOC* may elect to take additional disciplinary action against *NOCs* or *International Federations* with respect to recognition and the eligibility of its officials and *Athletes* to participate in the *Sochi Olympic Winter Games* or in editions of the Games of the Olympiad and the Olympic Winter Games subsequent to the *Sochi Olympic Winter Games*.

## ARTICLE 11 APPEALS

### 11.1 Decisions Subject to Appeal

Decisions made under these *Rules* may be appealed as set forth below in Article 11.2 through 11.4 or as otherwise provided in the *Code*. Such decisions shall remain in effect while under appeal unless the appellate body orders otherwise.

### 11.2 Appeals from Decisions Regarding *Anti-Doping* Rule Violations, Consequences, and *Provisional Suspensions*

In addition to decision for which appeals are granted under Article 13.2 of the *Code*, a decision that the *IOC* lacks jurisdiction to rule on an alleged anti-doping rule violation or its *Consequences*, and a decision to impose a *Provisional Suspension* may be appealed exclusively as provided in this Article 11.2. Notwithstanding any other provision herein, the only *Person* that may appeal from a *Provisional Suspension* is the *Athlete* or other *Person* upon whom the *Provisional Suspension* is imposed.

**11.2.1** In all cases arising from the *Sochi Olympic Winter Games*, the decision may be appealed exclusively to the Court of Arbitration for Sport ("CAS") in accordance with the provisions applicable before such court.

**11.2.2** In cases under Article 11.2.1, only the following parties shall have the right to appeal to CAS: (a) the *Athlete* or other *Person* who is the subject of the decision being appealed; (b) the relevant *International Federation* and any other *Anti-Doping Organisation* under whose rules a sanction could have been imposed; and (c) *WADA*.

### 11.3 Appeals from Decisions Granting or Denying a Therapeutic Use Exemption

Decisions by *WADA* reversing the grant or denial of a TUE may be appealed exclusively to CAS by the *Athlete*, the *IOC*, or *Anti-Doping Organisation* or other body designated by an *NOC* which granted or denied the TUE. Decisions to deny TUEs, and which are not reversed by *WADA*, may be appealed by *Athletes* to CAS.

### 11.4 Appeal from Decisions Pursuant to Article 10

Decisions by the *IOC* pursuant to Article 10 may be appealed exclusively to CAS by the *NOC* or *International Federation*.

### 11.5 Time for Filing Appeals

The time to file an appeal to CAS shall be within twenty-one (21) days from the date of receipt of the decision by the appealing party.

## ARTICLE 12 APPLICABLE LAW, AMENDMENT AND INTERPRETATION OF ANTI-DOPING RULES

**12.1** These *Rules* are governed by the Olympic Charter and by Swiss law.

**12.2** These *Rules* may be amended from time to time by the *IOC* Executive Board.

- 12.3** The headings used for the various Parts and Articles of these *Rules* are for convenience only and shall not be deemed part of the substance of these *Rules* or to affect in any way the language of the provisions to which they refer.
- 12.4** The PREAMBLE and the APPENDICES shall be considered integral parts of these *Rules*.
- 12.5** These *Rules* have been adopted pursuant to the applicable provisions of the *Code* and shall be interpreted in a manner that is consistent with applicable provisions of the *Code*. The comments annotating various provisions of the *Code* may, where applicable, assist in the understanding and interpretation of these *Rules*.

## **ARTICLE 13   LANGUAGES**

The English version of these *Rules* shall prevail.

## APPENDIX 1 DEFINITIONS

Unless stated otherwise below, the definitions of the *Code* and of the *International Standards* apply, *mutatis mutandis*, to the capitalized terms appearing in italics in the Rules.

*Athlete*: Any *Person* who participates, or who may potentially participate, in the *Sochi Olympic Winter Games*.

*Competition*: A single race, match, game or singular athletic contest.

*In-Competition Period*: The *Period of the Sochi Olympic Winter Games*.

*International Federation or IF*: An international non-governmental organisation, recognised by the *IOC*, administering one or several sports at world level and encompassing organisations administering such sports at national level.

*International Standard for Laboratories*: A standard adopted by *WADA* in support of the *Code* with regard to *Laboratory Analysis*.

*International Standard for Testing*: A standard adopted by *WADA* in support of the *Code* with regard to the *Testing* processes.

*IOC*: International Olympic Committee.

*Sochi Olympic Winter Games*: XXII Olympic Winter Games in Sochi, in 2014.

*Period of the Sochi Olympic Winter Games*: The period commencing on the date of the opening of the Olympic village for the *Sochi Olympic Winter Games*, namely, 30 January 2014 up until and including the day of the closing ceremony of the *Sochi Olympic Winter Games*, namely, 23 February 2014.

*Possession*: (In addition to the definition set out in the *Code*): For the avoidance of doubt, a *Person* may be in the *Possession* of a *Prohibited Method* when such *Person* has in his/her actual physical or constructive possession some or all of the materials necessary to carry out the *Prohibited Method*.

*Rules*: The International Olympic Committee Anti-Doping Rules applicable to the *Sochi Olympic Winter Games*.

*SOCHI 2014*: The organising committee for the *Sochi Olympic Winter Games*.

## APPENDIX 2 CRITERIA RELATING TO THE INTERNATIONAL STANDARD FOR TESTING (Article 4.3 of the Rules)

The meaning of the capitalised terms (appearing in italics) contained in this Appendix are defined in the relevant *International Standard for Testing* or in Appendix 1 to the *Rules*.

The *International Standard for Testing* includes standards for test distribution planning, notification of *Athletes*, preparing for and conducting *Sample* collection, security/post test administration and transport of *Samples*.

The *IOC* requires *SOCHI 2014* or any anti-doping organization performing tests on its behalf to plan and conduct the *Doping Control* in conformity with the *International Standards*.

There are a number of standards for which the *IOC*, as Anti-Doping Organisation (ADO), is required to establish criteria. The following table outlines the requirements of the *IOC*. Each item is referenced from the *International Standard for Testing*:

Ref.	Item	Criteria
5.3.4	The ADO shall establish criteria to validate the identity of an <i>Athlete</i> selected to provide a <i>Sample</i> . This ensures the selected <i>Athlete</i> is the <i>Athlete</i> who is notified.	The <i>IOC</i> requires the <i>Athlete</i> to present his/her Olympic identity and accreditation card.  If the <i>Athlete</i> does not have an Olympic identity and accreditation card then an official identity document with photo is required.
5.3.6 5.3.5	For Sample Collection, the ADO shall establish criteria to ensure that reasonable attempts are made to notify <i>Athletes</i> of their selection for <i>Sample</i> collection	<i>NOCs</i> are required to provide accurate <i>Athlete</i> whereabouts information to the <i>IOC</i> . This information will be used to locate and notify selected <i>Athletes</i> .  <i>DCOs</i> will be provided with this information as well as any training schedules managed by <i>SOCHI 2014</i> , and will make all reasonable attempts to locate and notify the <i>Athletes</i> .  The <i>IOC/SOCHI 2014</i> will attempt to notify an <i>Athlete</i> using the <i>Athlete</i> whereabouts information before it is considered that a doping violation has occurred according to the <i>Rules</i> .

Ref.	Item	Criteria
6.2b) 6.3.3	The ADO shall establish criteria for who may be authorised to be present during a <i>Sample</i> Collection Session in addition to the <i>Sample</i> Collection Personnel (and the <i>Athlete</i> )	<p>In addition to the <i>Athlete</i> and the <i>Sample</i> Collection Personnel, the following people may be present (see <i>International Standard for Testing</i> for conditions) during a <i>Sample</i> Collection Session:</p> <ul style="list-style-type: none"> <li>• <i>Athlete</i> representative</li> <li>• Interpreter</li> <li>• <i>IOC</i> representative</li> <li>• <i>International Federation</i> representative</li> <li>• <i>WADA</i> Independent Observer</li> <li>• <i>SOCHI 2014</i> management team</li> </ul>
6.2c) 6.3.2	<p>The ADO shall ensure that the Doping Control Station meets the minimum criteria prescribed in 6.3.2.</p> <p>The DCO shall use a Doping Control Station which, as a minimum, ensures the <i>Athlete's</i> privacy and is used solely as a Doping Control Station for the duration of the <i>Sample</i> Collection Session.</p>	<p>Unless otherwise agreed, the <i>IOC</i> requires <i>SOCHI 2014</i> to provide the following as a minimum for a <i>Sochi Olympic Winter Games Competition Venue</i> Doping Control Station:</p> <p>The Doping Control Station should consist of a Waiting Area, one or more Processing Rooms and one or more toilets. All spaces should be contained in the one enclosed lockable Station.</p> <p>The "Waiting Room" should contain a check-in desk at the entrance, a refrigerator or other form of cooling for sealed drinks, enough chairs for the peak time load of the Station, and a television.</p> <p>The "Processing Room/s" (the number required will depend on the number of <i>Athletes</i> at the peak-time) should each contain a table, 5 chairs, a lockable refrigerator and a hazard waste bin.</p> <p>The Toilet must be large enough for 2 people and enable the witness to directly observe the passing of the urine sample.</p>
7.4.5	Re minimum information on the Doping Control forms	Note that it is not an <i>IOC</i> requirement to record the <i>Athlete's</i> home address and telephone number as these are already held by <i>SOCHI 2014</i> for the Accreditation process.
8.3.1	The ADO shall define criteria ensuring that any sealed sample will be stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station.	Unless otherwise agreed, the <i>IOC</i> requires the samples collected at <i>Sochi Olympic Winter Games Competition Venues</i> to be secured in a lockable refrigerator prior to transport from the Doping Control Station.

Ref.	Item	Criteria
Annex G G.3	<p data-bbox="326 233 727 321"><u>Samples that do not meet the requirements for Suitable Specific Gravity for Analysis</u></p> <p data-bbox="326 352 781 625">The ADO is responsible for establishing procedures to ensure that a suitable <i>Sample</i> is collected. If the original <i>Sample</i> collected does not meet the requirement for Suitable Specific Gravity for Analysis, the DCO is responsible for collecting additional <i>Samples</i> until a suitable <i>Sample</i> is obtained.</p>	<p data-bbox="815 289 1430 411">The <i>IOC</i> typically requires one (1) additional sample to be collected from an <i>Athlete</i> in the event of an initial sample being outside the laboratory requirements.</p> <p data-bbox="815 474 1430 596">In the event that additional laboratories are required to be used for the <i>Sochi Olympic Winter Games</i> Doping Control Program they will be required to use the same agreed guidelines.</p>
Annex H	<p data-bbox="326 779 672 837"><u>Sample Collection Personnel Requirements</u></p> <p data-bbox="326 869 776 1142">The ADO shall determine the necessary competence and qualification requirements for the positions of Doping Control Officer, Chaperone and Blood Collection Officer. The ADO shall develop duty statements for all Sample Collection Personnel that outline their respective responsibilities.</p>	<p data-bbox="815 779 1430 930"><i>SOCHI 2014's</i> use of existing anti-doping personnel in the host country and the plans for the recruitment and training of additional personnel required to conduct the Games anti-doping program are subject to the <i>IOC's</i> approval.</p>

**VIOLATION OF PROCEDURES AND GENERAL PROVISIONS:**

No violation of the procedures and general provisions contained in this Appendix can be invoked if the *Athlete* or other *Person* involved has not been prejudiced by such violation.

## **APPENDIX 3 TECHNICAL PROCEDURES FOR DOPING CONTROL FOR SOCHI 2014 OLYMPIC WINTER GAMES**

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## 1. INTRODUCTION

- 1.0 The International Olympic Committee's (IOC) Anti-Doping Program for the 2014 Winter Olympic Games complies with the World Anti-Doping Code and the mandatory International Standards that comprise the World Anti-Doping Program.
- 1.1 The IOC delegates to the SOCHI 2014 Organizing Committee for the 2014 Olympic and Paralympic Winter Games (SOCHI 2014) the implementation, under the IOC's authority, of the following sections of the World Anti-Doping Agency's mandatory International Standard for Testing (IST):
- ✓ Notification of Athletes;
  - ✓ Preparing for Sample Collection Session;
  - ✓ Conducting the Sample Collection Session;
  - ✓ Security / Post Test Administration;
  - ✓ Transport of Samples and Documentation;
  - ✓ Ownership of Samples;
  - ✓ Annex A -Investigating a Possible Failure to Comply;
  - ✓ Annex B -Modifications for Athletes with a Disability;
  - ✓ Annex C -Modifications for Athletes who are Minors;
  - ✓ Annex D -Collection of Urine Samples;
  - ✓ Annex E -Collection of Blood Samples;
  - ✓ Annex F -Urine Samples – Insufficient Volume;
  - ✓ Annex G -Urine Samples that do Not Meet the Requirement for Suitable Specific Gravity for Analysis;
  - ✓ Annex H -Sample Collection Personnel Requirements.
- 1.2 These Technical Procedures for Doping Control outline SOCHI 2014 implementation of the aforementioned areas of the WADA IST.
- 1.3 These Technical Procedures for Doping Control do not address the requirements within the IST relating to Section 4 -Planning and Section 11 -Athlete Whereabouts. These requirements are the sole responsibility of the IOC.
- 1.4 SOCHI 2014 shall carryout Doping Control in accordance with these Technical Procedures for Doping Control on behalf of the IOC at SOCHI 2014 Olympic Venues only.
- 1.5 In implementing these Technical Procedures for Doping Control, SOCHI 2014 complies with the WADA Standard on Athlete Privacy and the Protection of Personal Data.
- 1.6 As part of the IOC Anti-Doping Program, the purpose of these Technical Procedures for Doping Control is to plan for effective Testing and to maintain the integrity and identity of the Samples collected, from the point the Athlete is notified of the test to the point the Samples are transported to the laboratory for analysis.

## 2. DEFINITIONS

- 2.0 Unless defined in the IOC Anti-Doping Rules, the definitions of the Code and the International Standards apply, *mutatis mutandis*, to the capitalized terms appearing in italics throughout Appendix 3.

## 3. NOTIFICATION OF ATHLETES

### Objective

- 3.0 To ensure that reasonable attempts are made to locate the Athlete, the selected Athlete is notified, the rights of the Athlete are maintained, there are no opportunities to manipulate the Sample to be provided, and the notification is documented.

### General

- 3.1 Notification of Athletes starts when SOCHI 2014 initiates the notification of the selected Athlete and ends when the Athlete arrives at the Doping Control Station or when the Athlete's possible Failure to Comply is brought to the attention of the IOC.
- 3.2 The main activities are:
- a) appointing Doping Control Officers (DCOs), Chaperones and other Sample Collection Personnel;
  - b) locating the Athlete and confirming his/her identity;
  - c) informing the Athlete 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 Athlete from the time of notification to the arrival at the designated Doping Control Station; and
  - e) documenting the notification, or notification attempts.

### Requirements Prior to Notification of Athletes

- 3.3 No Advance Notice shall be the notification method for Sample collection whenever possible.
- 3.4 To conduct or assist with Sample Collection Sessions, SOCHI 2014 shall appoint and authorize Sample Collection Personnel who have been trained for their assigned responsibilities, who do not have a conflict of interest in the outcome of the Sample collection, and who are not Minors.
- 3.5 DCOs/Chaperones shall have official identification that is provided and controlled by SOCHI 2014. The minimum identification requirement is an official card/document naming SOCHI 2014 and the IOC. For DCOs, additional identification requirements shall include their name, their photograph and the card's/document's expiry date. For Blood Collection Officers, additional identification requirements include evidence of their professional training in the collection of blood Samples.
- 3.6 SOCHI 2014 has established criteria to validate the identity of an Athlete selected to provide a Sample. This ensures the selected Athlete is the Athlete who is notified. Identification will typically be done through the Athlete's Games Time accreditation or through an alternative reliable piece of photo identification. The method of identification of the Athlete shall be documented on the Doping Control documentation.

- 3.7 SOCHI 2014 or the DCO/Chaperone, as applicable, shall establish the location of the selected Athlete and plan the approach and timing of notification, respectfully taking into consideration the specific circumstances of the sport/Competition/training session and the situation in question.
- 3.8 SOCHI 2014 shall ensure that reasonable attempts are made to notify Athletes of their selection for Sample collection. SOCHI 2014 shall record in detail Athlete notification attempt(s) and outcome(s). In locating Athletes using Athlete whereabouts information, SOCHI 2014 will ensure its DCOs adhere to the requirements in 11.4.3 b) and c) of the International Standard for Testing.
- 3.9 The Athlete 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 Procedure 3.10.
- 3.10 SOCHI 2014 or the DCO/Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification of the Athlete. This may include situations where the Athlete is a Minor as provided for in Annex C: Modifications for Athletes who are Minors, where required by an Athlete's disability as provided for in Annex B: Modifications for Athletes with Disabilities, or in situations where an interpreter is required and available for the notification.
- 3.11 SOCHI 2014 or DCO may change a Sample collection from No Advance Notice to advance notice. Any such occurrence shall be recorded.
- 3.12 Notification for advance notice Sample collection shall be by any means that indicates the Athlete received the notice.

#### **Requirements for Notification of Athletes**

- 3.13 When initial contact is made, SOCHI 2014 or the DCO/Chaperone, as applicable, shall ensure that the Athlete and/or a third party, if required, is informed:
  - a) that the Athlete is required to undergo a Sample collection;
  - b) that the Sample collection is being conducted under the authority of the IOC;
  - c) of the type of Sample collection and any conditions that need to be adhered to prior to the Sample collection;
  - d) of the Athlete's rights, including the right to:
    - (i) have a representative and, if available, 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 Athletes with Disabilities;
  - e) of the Athlete'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;
    - (iii) comply with Sample collection procedures and the possible consequences of Failure to Comply; and
    - (iv) report immediately but no later than sixty (60) minutes to the Doping Control Station for Testing, unless delayed for valid reasons;
  - f) of the location of the Doping Control Station;
  - g) that should the Athlete choose to consume food or fluids prior to providing a Sample, he/she does so at his/her own risk;
  - h) that the Athlete should avoid excessive rehydration, having in mind the requirement to produce a Sample with a Suitable Specific Gravity for Analysis; and

i) that the Sample provided by the Athlete to the Sample Collection Personnel should be the first urine passed by the Athlete subsequent to notification, i.e., he/she should not pass urine in the shower or otherwise prior to providing a Sample to the Sample Collection Personnel.

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

- a) keep the Athlete under observation at all times until the completion of his/her Sample Collection Session;
- b) identify themselves to the Athlete using their official SOCHI 2014 identification card/document; and
- c) confirm the Athlete's identity. Any inability to confirm the identity of the Athlete 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.

3.15 The DCO/Chaperone shall have the Athlete sign an appropriate form to acknowledge and accept the notification. If the Athlete refuses to sign that he/she has been notified or evades the notification, the DCO/Chaperone shall inform the Athlete of the consequences of a Failure 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 SOCHI 2014 and the IOC as soon as possible. The IOC shall follow the steps prescribed in Annex A: Investigating a Possible Failure to Comply.

3.16 The DCO/Chaperone may at their discretion consider any valid third party requirement or any valid request by the Athlete for permission to delay reporting to the Doping Control Station following acknowledgement and acceptance of notification, and/or to leave the Doping Control Station temporarily after arrival, and may grant such permission if the Athlete can be continuously chaperoned and kept under direct observation during the delay and if the request relates to the following activities:

For In-Competition Testing:

- 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;
- g) obtaining photo identification; or
- h) any other reasonable circumstances which can be justified, and which shall be documented.

For Testing not carried out directly after a Competition:

- a) locating a representative and/or an interpreter;
- b) completing a training session;
- c) receiving necessary medical treatment;
- d) obtaining photo identification; or
- e) any other reasonable circumstances which can be justified, and which shall be documented.

- 3.17 The DCO or other Sample Collection Personnel shall document the reasons for a 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 IOC. Any failure by the Athlete to remain under constant observation should be recorded.
- 3.18 A DCO/Chaperone shall reject a request for delay from an Athlete if it will not be possible for the Athlete to be continuously chaperoned.
- 3.19 When an Athlete 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 judgment whether to attempt to contact the Athlete. At a minimum, the DCO shall wait thirty (30) minutes after the appointed time before departing. If the Athlete 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.
- 3.20 If the Athlete delays reporting to the Doping Control Station other than in accordance with Procedure 3.16 but arrives prior to the DCO's departure, the DCO shall decide whether to report a possible Failure to Comply. If at all possible the DCO shall proceed with collecting a Sample and shall document the details of the delay in the Athlete reporting to the Doping Control Station.
- 3.21 If, while keeping the Athlete 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 and/or consider if it is appropriate to collect an additional Sample from the Athlete.

## **4. PREPARING FOR THE SAMPLE COLLECTION SESSION**

### **Objective**

- 4.0 To prepare for the Sample Collection Session in a manner that ensures that the session can be conducted efficiently and effectively.

### **General**

- 4.1 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.
- 4.2 The main activities are:
- a) establishing a system for collecting details regarding the Sample Collection Session;
  - b) establishing criteria for who may be present during a Sample Collection Session;
  - c) ensuring that the Doping Control Station meets the minimum criteria prescribed in Procedure 4.4; and
  - d) ensuring that Sample Collection Equipment used by SOCHI 2014 meets the minimum criteria prescribed in Procedure 4.6.

## Requirements for preparing for the sample collection session

- 4.3 SOCHI 2014 shall obtain all the information necessary to ensure that the Sample Collection Session can be conducted effectively and efficiently, including special requirements to meet the needs of Athletes with disabilities as provided in Annex B: Modifications for Athletes with Disabilities as well as the needs of Athletes who are Minors as provided in Annex C: Modifications for Athletes who are Minors.
- 4.4 The DCO shall use a Doping Control Station which at a minimum, ensures the Athlete's privacy and where possible is used solely as a Doping Control Station for the duration of the Sample Collection Session. The DCO shall record any significant deviations from these criteria.
- 4.5 Doping Control Stations will be located at all competition venues and at the Coastal Athlete Village, Mountain and the Endurance Village. The Doping Control Station Manager is responsible for managing the Doping Control operations and the Doping Control workforce at a venue in the Doping Control Station.
- 4.6 These procedures establish minimum criteria for who may be present during the Sample Collection Session in addition to the Sample Collection Personnel and members of the SOCHI 2014 Anti-Doping Function, including:
- a) an Athlete's entitlement to be accompanied by a representative and/or interpreter during the Sample Collection Session except when the Athlete is passing a urine Sample;
  - b) a Minor Athlete's entitlement, and the witnessing DCO/Chaperone's entitlement to have a representative observe the witnessing DCO/Chaperone when the Minor Athlete is passing a urine Sample, but without the representative directly observing the passing of the Sample unless requested to do so by the Minor Athlete;
  - c) an Athlete with a disability's entitlement to be accompanied by a representative as provided in Annex B: Modifications for Athletes with Disabilities;
  - d) IOC representative;
  - e) the relevant International Federation representative; and
  - f) 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.
- 4.7 The DCO shall only use Sample Collection Equipment systems that are authorized by SOCHI 2014, which at a minimum, shall:
- a) have a unique numbering system incorporated into all bottles, containers, tubes or any other item used to seal the Athlete's Sample;
  - b) have a sealing system that is tamper evident;
  - c) ensure the identity of the Athlete is not evident from the equipment itself; and
  - d) be clean and sealed prior to use by the Athlete.
- 4.8 SOCHI 2014 will use Berlinger Sample Collection Equipment.
- 4.9 Photographs, video or tape recordings may only be taken inside the Doping Control Station with the permission of the Doping Control Station Manager and only when the Doping Control Station is not in operation. No photographs, video or tape recordings may be taken once the Doping Control Station is in operation. Mobile phones may be used as phones but not cameras. However, all mobile phones must be turned off during the processing of the Sample.

## 5. CONDUCTING THE SAMPLE COLLECTION SESSION

### Objective

- 5.0 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 Athlete.

### General

- 5.1 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.
- 5.2 The main activities are:
- a) preparing for collecting the Sample;
  - b) collecting and securing the Sample; and
  - c) documenting the Sample collection.

### Requirements Prior to Sample Collection

- 5.3 SOCHI 2014 shall be responsible for the overall conduct of the Sample Collection Session with specific responsibilities delegated to the DCO.
- 5.4 The DCO shall ensure that the Athlete is informed of his/her rights and responsibilities as specified in Procedure 3.13.
- 5.5 The DCO shall provide the Athlete with the opportunity to hydrate. The Athlete should avoid excessive hydration, having in mind the requirement to provide a Sample with a Suitable Specific Gravity for Analysis.
- 5.6 The Athlete 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, as specified in Procedure 3.16 and 3.17, by the Athlete to leave the Doping Control Station, until the Athlete is able to provide a Sample.
- 5.7 If the DCO gives approval for the Athlete to leave the Doping Control Station, the DCO shall agree with the Athlete on the following conditions of leave:
- a) the purpose of the Athlete leaving the Doping Control Station;
  - b) the time of return (or return upon completion of an agreed activity);
  - c) that the Athlete must remain under observation at all times; and
  - d) that the Athlete shall not pass urine until he/she gets back to the Doping Control Station.
- 5.8 The DCO shall document this information agreed to and the actual time of the Athlete's departure and subsequent return.

### Requirements for Sample Collection

- 5.9 The DCO shall collect the Sample from the Athlete according to the following procedures for the specific type of Sample collection:
- a) Annex D: Collection of Urine Samples; and
  - b) Annex E: Collection of Blood Samples.

- 5.10 Any behavior by the Athlete and/or Persons associated with the Athlete or anomalies with potential to compromise the Sample collection shall be recorded by the DCO. If appropriate, SOCHI 2014 and/or DCO shall apply Annex A: Investigating a Possible Failure to Comply.
- 5.11 If there are doubts as to the origin or authenticity of the Sample, the Athlete shall be asked to provide an additional Sample. If the Athlete refuses to provide an additional Sample the DCO shall document in detail the circumstances around the refusal and SOCHI 2014 shall apply Annex A: Investigating a Possible Failure to Comply.
- 5.12 The DCO shall provide the Athlete with the opportunity to document any concerns he/she may have about how the Sample Collection Session was conducted.
- 5.13 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, pre or post Competition);
  - b) arrival time at Doping Control Station;
  - c) date and time of Sample provision;
  - d) the name of the Athlete;
  - e) the date of birth of the Athlete;
  - f) the gender of the Athlete;
  - g) the Athlete's accreditation number, which, when linked to the SOCHI 2014 database, can provide the Athlete's home address and telephone number;
  - h) the Athlete's sport and discipline;
  - i) the name of the Athlete's coach and doctor;
  - j) the Sample code number;
  - k) the name and signature of the Chaperone or DCO who witnessed the urine Sample provision;
  - l) the name and signature of the Blood Collection Officer who collected the blood Sample, where applicable;
  - m) required laboratory information on the Sample;
  - n) medications and supplements taken, as declared by the Athlete, and recent blood transfusion details if applicable, within the timeframe specified by the laboratory;
  - o) any irregularities in procedures;
  - p) Athlete comments or concerns regarding the conduct of the Sample Collection Session, if provided;
  - q) Athlete consent for the processing of test data in ADAMS;
  - r) Athlete consent, or refusal to consent, for the use of the Sample(s) for research purposes;
  - s) the name and signature of the Athlete;
  - t) the name and signature of the Athlete's representative, if applicable; and
  - u) the name and signature of the DCO.
- 5.14 At the conclusion of the Sample Collection Session the Athlete and DCO shall sign appropriate documentation to indicate their satisfaction that the documentation accurately reflects the details of the Athlete's Sample Collection Session, including any concerns recorded by the Athlete. The Athlete's representative (if any) and the Athlete shall both sign the documentation if the Athlete is a Minor. Other Persons present who had a formal role during the Athlete's Sample Collection Session may sign the documentation as a witness of the proceedings.

- 5.15 The DCO shall provide the Athlete with a copy of the records of the Sample Collection Session that have been signed by the Athlete.

## **6. SECURITY/POST TEST ADMINISTRATION**

### **Objective**

- 6.0 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.

### **General**

- 6.1 Post test administration begins when the Athlete leaves the Doping Control Station after providing a Sample, and ends with preparation of all of the collected Samples and documentation for transport.

### **Requirements for Security/Post Test Administration**

- 6.2 SOCHI 2014 has established criteria to ensure that any Sample will be stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station. The DCO shall ensure that any Sample is stored in accordance with these criteria. These criteria are ensuring the samples are placed in a lockable refrigerator within the Doping Control Station prior to transport.
- 6.3 Without exception, all Samples collected shall be sent for analysis to a WADA-accredited laboratory or as otherwise approved by WADA.
- 6.4 The DCO shall ensure that the documentation for each Sample is completed and securely handled.
- 6.5 SOCHI 2014 shall ensure that, where required, instructions for the type of analysis to be conducted are provided to the WADA-accredited laboratory.

## **7. TRANSPORT OF SAMPLES AND DOCUMENTATION**

### **Objective**

- 7.0 To ensure that Samples and related documentation arrive at the WADA-accredited laboratory in proper condition to do the necessary analysis.
- 7.1 To ensure the Sample Collection Session documentation is sent by the DCO to the IOC in a secure and timely manner.

### **General**

- 7.2 Transport starts when the 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.
- 7.3 The main activities are arranging for the secure transport of Samples and related documentation to the WADA-accredited laboratory, and arranging for the secure transport of Sample collection documentation to the IOC.

#### **Requirements for Transport and Storage of Samples and Documentation**

- 7.4 SOCHI 2014 has authorized a transport system that ensures Samples and documentation will be transported in a manner that protects their integrity, identity and security.
- 7.5 Samples shall always be transported to the WADA-accredited laboratory using a SOCHI 2014 authorized transport method as soon as practicable after the completion of the Sample Collection Session. Samples shall be transported in a manner which minimizes the potential for Sample degradation due to factors such as time delays and extreme temperature variations.
- 7.6 Documentation identifying the Athlete shall not be included with the Samples or documentation sent to the WADA-accredited laboratory or as otherwise approved by WADA.
- 7.7
- a) SOCHI 2014 shall send all relevant Sample Collection Session documentation to the IOC using a SOCHI 2014 authorized transport method as soon as practicable after the completion of the Sample Collection Session.
  - b) When required, the DCO shall complete all necessary documentation for customs purposes.
- 7.8
- a) Chain of Custody shall be checked by SOCHI 2014 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, SOCHI 2014 shall inform the IOC and the IOC shall consider whether the Sample should be voided.
  - b) The opening of the transport bag by customs, border authorities or SOCHI 2014 security staff will not, in itself, invalidate laboratory results.
- 7.9 Documentation related to a Sample Collection Session and/or an anti-doping rule violation shall be stored by the IOC for a minimum of eight (8) years.

### **8. OWNERSHIP OF SAMPLES**

- 8.0 The IOC owns the Samples collected from the Athlete.

## **ANNEX A: INVESTIGATING A POSSIBLE FAILURE TO COMPLY**

### **Objective**

- A.1 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.

### **Scope**

- A.2 Investigating a possible Failure to Comply begins when the IOC, SOCHI 2014 or a DCO becomes aware of a possible Failure to Comply and ends when the IOC takes appropriate follow-up action based on the outcome of its investigation into the possible Failure to Comply.

### **Responsibility**

- A.3 The IOC is responsible for ensuring that:

- a) any matters with the potential to compromise an Athlete's test are assessed by means of an initial review according to the IOC Anti-Doping Rules to determine if a possible Failure to Comply has occurred;
- b) all relevant information and documentation, including information from the immediate surroundings when applicable, is obtained as soon as possible or practical to ensure that all knowledge of the matter can be reported and be presented as possible evidence;
- c) appropriate documentation is completed to report any possible Failure to Comply;
- d) the Athlete or other Person is informed of the possible Failure to Comply in writing and has the opportunity to respond; and
- e) the final determination is made available to other Anti-Doping Organizations in accordance with the Code.

- A.4 The DCO is responsible for:

- a) informing the Athlete or other Person that a Failure to Comply could result in an anti-doping rule violation;
- b) completing the Athlete's Sample Collection Session where possible; and
- c) providing a detailed written report of any possible Failure to Comply.

- A.5 The other Sample Collection Personnel are responsible for:

- a) informing the Athlete or other Person that a Failure to Comply could result in an anti-doping rule violation; and
- b) reporting to the DCO any possible Failure to Comply.

### **Requirements**

- A.6 Any potential Failure to Comply shall be reported by the DCO and/or followed up by the IOC as soon as practical.

- A.7 If the IOC determines that there has been a potential Failure to Comply, the Athlete or other Person shall be notified in the course of the initial review of:
- a) the possible consequences; and
  - b) that a potential Failure to Comply is being investigated by the IOC and appropriate follow-up action will be taken.
- A.8 Any additional necessary information about the possible Failure to Comply shall be obtained from all relevant sources, including the Athlete or other Person, as soon as possible and recorded.
- A.9 The IOC shall ensure that the outcomes of its initial review into the potential Failure to Comply are considered for results management action and, if applicable, for further planning and Target Testing.

## **ANNEX B: MODIFICATIONS FOR ATHLETES WITH DISABILITIES**

### **Objective**

- B.1 To ensure that the special needs of Athletes with disabilities are considered, where possible, in relation to the provision of a Sample, without compromising the integrity of the Sample Collection Session.

### **Scope**

- B.2 Determining whether modifications are necessary starts with identification of situations where Sample collection involves Athletes with disabilities and ends with modifications to Sample collection procedures and equipment where necessary and where possible.

### **Responsibility**

- B.3 SOCHI 2014 has responsibility for ensuring, when possible, that the DCO has any information and Sample Collection Equipment necessary to conduct a Sample Collection Session with an Athlete with a disability. The DCO has responsibility for Sample collection.

### **Requirements**

- B.4 All aspects of notification and Sample collection for Athletes with disabilities shall be carried out in accordance with the standard notification and Sample collection procedures unless modifications are necessary due to the Athlete's disability.
- B.5 In planning or arranging Sample collection, SOCHI 2014 and DCO shall consider whether there will be any Sample collection for Athletes with disabilities that may require modifications to the standard procedures for notification or Sample collection, including Sample Collection Equipment and facilities. If requested, the DCO shall provide to the Athlete a new sterile catheter with which to provide a Sample.
- B.6 The DCO shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security or integrity of the Sample. All such modifications must be documented.
- B.7 An Athlete with an intellectual, physical or sensory disability can be assisted by the Athlete's representative or Sample Collection Personnel during the Sample Collection Session where authorized by the Athlete and agreed to by the DCO.
- B.8 The DCO can decide that alternative Sample Collection Equipment or facilities will be used when required to enable the Athlete to provide the Sample as long as the Sample's identity, security and integrity will not be affected.
- B.9 For intermittent catheter use, Athletes may use their own catheter to provide a Sample. Where possible, this catheter should be new, and produced in a tamper evident wrapping. The DCO shall inspect all catheters provided by an Athlete prior to their use, however the cleanliness of a used or un-sealed catheter is the responsibility of the Athlete.
- B.10 Athletes who are using urine collection or drainage systems are required to eliminate existing urine from such systems before providing a urine Sample for analysis. Where possible, the

existing urine collection or drainage system should be replaced with a new catheter or drainage system. The cleanliness of the system is the responsibility of the Athlete.

- B.11 The DCO will record modifications made to the standard Sample collection procedures for Athletes with disabilities, including any applicable modifications specified in the above actions.

## **ANNEX C: MODIFICATIONS FOR ATHLETES WHO ARE MINORS**

### **Objective**

- C.1 To ensure that the needs of Athletes who are Minors are met, in relation to the provision of a Sample, without compromising the integrity of the Sample Collection Session.

### **Scope**

- C.2 Determining whether modifications are necessary starts with identification of situations where Sample collection involves Athletes who are Minors and ends with modifications to Sample collection procedures where necessary and where possible.

### **Responsibility**

- C.3 The IOC has responsibility for ensuring, when possible, that the DCO has any information necessary to conduct a Sample Collection Session with an Athlete who is a Minor. This includes confirming wherever necessary that parental consent clauses are in place when arranging Testing at an Event.

### **Requirements**

- C.4 All aspects of notification and Sample collection for Athletes who are Minors shall be carried out in accordance with the standard notification and Sample collection procedures unless modifications are necessary due to the Athlete being a Minor.
- C.5 In planning or arranging Sample collection, the IOC, SOCHI 2014 and DCO shall consider whether there will be any Sample collection for Athletes who are Minors that may require modifications to the standard procedures for notification or Sample collection.
- C.6 The DCO and SOCHI 2014 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.
- C.7 Athletes who are Minors should be accompanied by a representative throughout the entire Sample Collection Session. The representative shall not witness the passing of a urine Sample unless requested to do so by the Minor. The objective is to ensure that the DCO/Chaperone is observing the Sample provision correctly. Even if the Minor declines a representative, the IOC, DCO/Chaperone, as applicable, shall consider whether a third party ought to be present during notification of and/or collection of the Sample from the Athlete.
- C.8 For Athletes who are Minors, the DCO shall determine who, in addition to the Sample Collection Personnel may be present during the Sample Collection Session, namely a Minor's representative to observe the Sample Collection Session (including observing the DCO/Chaperone when the Minor is passing the urine Sample, but not to directly observe the passing of the urine Sample unless requested to do so by the Minor) and the DCO's/Chaperone's representative, to observe the DCO/Chaperone when a Minor is passing a urine Sample, but without the representative directly observing the passing of the Sample unless requested by the Minor to do so.

- C.9 Should a Minor decline to have a representative present during the Sample Collection Session, this should be clearly documented by the DCO. This does not invalidate the test, but must be recorded. If a Minor declines the presence of a representative, the representative of the DCO/Chaperone must be present.
- C.10 Should a Minor fall within a Registered Testing Pool, the preferred venue for all Testing is a location where the presence of an adult is most likely, e.g., at a training venue. However, Testing at any other venue will not invalidate the test.
- C.11 The IOC and SOCHI 2014 shall consider the appropriate course of action when no adult is present at the Testing of an Athlete who is a Minor and shall accommodate the Athlete in locating a representative in order to proceed with Testing.

## **ANNEX D: COLLECTION OF URINE SAMPLES**

### **Objective**

- D.1 To collect an Athlete's urine Sample in a manner that ensures:
- a) consistency with relevant principles of internationally recognized standard precautions in healthcare settings so that the health and safety of the Athlete and Sample Collection Personnel are not compromised;
  - b) the Sample meets the Suitable Specific Gravity for Analysis and the Suitable Volume of Urine for Analysis. Failure of a Sample to meet these requirements in no way invalidates the suitability of the Sample for analysis. The determination of a Sample's suitability for analysis is the decision of the relevant laboratory, in consultation with the IOC;
  - c) the Sample has not been manipulated, substituted, contaminated or otherwise tampered with in any way;
  - d) the Sample is clearly and accurately identified; and
  - e) the Sample is securely sealed in a tamper-evident kit.

### **Scope**

- D.2 The collection of a urine Sample begins with ensuring the Athlete is informed of the Sample collection requirements and ends with discarding any residual urine remaining at the end of the Athlete's Sample Collection Session.

### **Responsibility**

- D.3 The DCO has the responsibility for ensuring that each Sample is properly collected, identified and sealed. The DCO has the responsibility for directly witnessing the passing of the urine Sample.

### **Requirements**

- D.4 The DCO shall ensure that the Athlete is informed of the requirements of the Sample Collection Session, including any modifications as provided for in Annex B: Modifications for Athletes with Disabilities.
- D.5 The DCO shall ensure that the Athlete is offered a choice of appropriate equipment for collecting the Sample. If the nature of an Athlete's disability requires that he/she must use additional or other equipment as provided for in Annex B: Modifications for Athletes with Disabilities, the DCO shall inspect that equipment to ensure that it will not affect the identity or integrity of the Sample.
- D.6 The DCO shall instruct the Athlete to select a collection vessel.
- D.7 When the Athlete selects a collection vessel and for selection of all other Sample Collection Equipment that directly holds the urine Sample, the DCO will instruct the Athlete to check that all seals on the selected equipment are intact and the equipment has not been tampered with. If the Athlete is not satisfied with the selected equipment, he/she may select another. If the Athlete is not satisfied with any of the equipment available for the selection, this shall be recorded by the DCO.

- D.8 If the DCO does not agree with the Athlete's opinion that all of the equipment available for the selection is unsatisfactory, the DCO shall instruct the Athlete to proceed with the Sample Collection Session. If the DCO agrees with the reasons put forward by the Athlete that all of the equipment available for the selection is unsatisfactory, the DCO shall terminate the collection of the Athlete's urine Sample and this shall be recorded by the DCO.
- D.9 The Athlete shall retain control of the collection vessel and any Sample provided until the Sample is sealed, unless assistance is required by an Athlete's disability as provided for in Annex B: Modifications for Athletes with Disabilities. Additional assistance may be provided in exceptional 15 circumstances to any Athlete by the Athlete's representative or Sample Collection Personnel during the Sample Collection Session where authorised by the Athlete and agreed to by the DCO.
- D.10 The DCO who witnesses the passing of the Sample shall be of the same gender as the Athlete providing the Sample.
- D.11 The DCO should where practicable ensure the Athlete thoroughly washes his/her hands prior to the provision of the Sample.
- D.12 The DCO and Athlete shall proceed to an area of privacy to collect a Sample.
- D.13 The DCO shall ensure an unobstructed view of the Sample leaving the Athlete's body and must continue to observe the Sample after provision until the Sample is securely sealed, and the DCO shall record the witnessing in writing. In order to ensure a clear and unobstructed view of the passing of the Sample, the DCO shall instruct the Athlete to remove or adjust clothing which restricts the clear view of Sample provision. Once the Sample has been provided, the DCO shall also ensure that no additional volume is passed by the Athlete at the time of provision, which could have been secured in the collection vessel.
- D.14 The DCO shall verify, in full view of the Athlete, that a Suitable Volume of Urine for Analysis has been provided.
- D.15 Where the volume of urine is insufficient, the DCO shall conduct a partial Sample collection procedure as prescribed in Annex F: Urine Samples – Insufficient Volume.
- D.16 The DCO shall instruct the Athlete to select a Sample collection kit containing A and B containers in accordance with Rule D.7 of Annex D: Collection of Urine Samples.
- D.17 Once a Sample collection kit has been selected, the DCO and the Athlete shall check that all code numbers match and that this code number is recorded accurately by the DCO.
- D.18 If the Athlete or DCO finds that the numbers are not the same, the DCO shall instruct the Athlete to choose another kit in accordance with Rule D.7 of Annex D: Collection of Urine Samples. The DCO shall record the matter.
- D.19 The Athlete shall pour the minimum Suitable Volume of Urine for Analysis into the B bottle (to a minimum of 30 mL), and then pour the remainder of the urine into the A bottle (to a minimum of 60 mL). If more than the minimum Suitable Volume of Urine for Analysis has been provided, the DCO shall ensure that the Athlete fills the A bottle to capacity as per the recommendation of the equipment manufacturer. Should there still be urine remaining, the DCO shall ensure that the Athlete fills the B bottle to capacity as per the recommendation of the equipment manufacturer. The DCO shall instruct the Athlete to ensure that a small amount of urine is left in the collection vessel, explaining that this is to enable the DCO to test the specific gravity of that residual urine in accordance with Procedure D.22.

- D.20 Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with Procedure D.19, and after the residual urine has been tested in accordance with Procedure D.22. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum.
- D.21 The Athlete shall seal the containers as directed by the DCO. The DCO shall check, in full view of the Athlete, that the containers have been properly sealed.
- D.22 The DCO shall test the residual urine in the collection vessel to determine if the Sample has a Suitable Specific Gravity for Analysis. If the DCO's field reading indicates that the Sample does not have a Suitable Specific Gravity for Analysis, then the DCO shall follow Annex G; Urine Samples that do not meet requirement for Suitable Specific Gravity for Analysis.
- D.23 The DCO shall ensure that the Athlete has been given the option of requiring that any residual urine that will not be sent for analysis is discarded in full view of the Athlete.

## **ANNEX E: COLLECTION OF BLOOD SAMPLES**

### **Objectives**

- E.1 To collect an Athlete's blood Sample in a manner that ensures:
- a) consistency with relevant principles of internationally recognized standard precautions in healthcare settings so that the health and safety of the Athlete and Sample Collection Personnel are not compromised;
  - b) the Sample is of a quality and quantity that meets the relevant analytical guidelines;
  - c) the Sample has not been manipulated, substituted, contaminated or otherwise tampered with in any way;
  - d) the Sample is clearly and accurately identified; and
  - e) the Sample is securely sealed.

### **Scope**

- E.2 The collection of a blood Sample begins with ensuring the Athlete is informed of the Sample collection requirements and ends with properly storing the Sample prior to dispatch for analysis at the WADA-accredited laboratory.

### **Responsibilities**

- E.3 The DCO has the responsibility for ensuring that:
- a) each Sample is properly collected, identified and sealed;
  - b) all Samples have been properly stored and dispatched in accordance with the relevant analytical guidelines.
- E.4 The Blood Collection Officer 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.

### **Requirements**

- E.5 Procedures involving blood shall be consistent with the local standards and regulatory requirements regarding precautions in healthcare settings.
- E.6 Blood Sample Collection Equipment shall consist of (a) a single Sample tube for blood profiling purposes; or (b) both an A and a B Sample tube for blood analysis; or (c) as otherwise specified by the relevant laboratory.
- E.7 The DCO shall ensure that the Athlete is informed of the requirements of the Sample collection, including any modifications as provided for in Annex B: Modifications for Athletes with Disabilities.
- E.8 The DCO/Chaperone and Athlete shall proceed to the area where the Sample will be provided.
- E.9 The DCO shall ensure the Athlete is offered comfortable conditions in accordance with the WADA Guidelines for Blood Sample Collection, prior to providing a Sample.

- E.10 The DCO shall instruct the Athlete to select the Sample collection kit/s required for collecting the Sample and to check that the selected equipment has not been tampered with and the seals are intact. If the Athlete is not satisfied with a selected kit, he/she may select another. If the Athlete is not satisfied with any kits and no others are available, this shall be recorded by the DCO.
- E.11 If the DCO does not agree with the Athlete that all of the available kits are unsatisfactory, the DCO shall instruct the Athlete to proceed with the Sample Collection Session. If the DCO agrees with the Athlete that all available kits are unsatisfactory, the DCO shall terminate the collection of the Athlete's blood Sample and this shall be recorded by the DCO.
- E.12 When a Sample collection kit has been selected, the DCO and the Athlete shall check that all code numbers match and that this code number is recorded accurately by the DCO. If the Athlete or DCO finds that the numbers are not the same, the DCO shall instruct the Athlete to choose another kit. The DCO shall record the matter.
- E.13 The Blood Collection Officer shall clean the skin with a sterile disinfectant wipe or swab in a location unlikely to adversely affect the Athlete or his/her performance and, if required, apply a tourniquet. The Blood Collection Officer shall take the blood Sample from a superficial vein into the tube. The tourniquet, if applied, shall be immediately removed after the venipuncture has been made.
- E.14 The amount of blood removed shall be adequate to satisfy the relevant analytical requirements for the Sample analysis to be performed.
- E.15 If the amount of blood that can be removed from the Athlete at the first attempt is insufficient, the Blood Collection Officer shall repeat the procedure. Maximum attempts shall be three. Should all attempts fail, then the Blood Collection Officer shall inform the DCO. The DCO shall terminate the collection of the blood Sample and record this and the reasons for terminating the collection.
- E.16 The Blood Collection Officer shall apply a dressing to the puncture site/s.
- E.17 The Blood Collection Officer shall dispose of used blood sampling equipment not required for completing the Sample Collection Session in accordance with the required local standards for handling blood.
- E.18 If the Sample requires further on-site processing, such as centrifugation or separation of serum, the Athlete shall remain to observe the Sample until final sealing in a secure, tamper-evident kit.
- E.19 The Athlete shall seal his/her Sample into the Sample collection kit as directed by the DCO. In full view of the Athlete, the DCO shall check that the sealing is satisfactory.
- E.20 The sealed Sample shall be stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station to the WADA-accredited laboratory.
- E.21 The WADA Guidelines for blood Sample collection shall be a further source of information for blood collection and Testing.

## **ANNEX F: URINE SAMPLES – INSUFFICIENT VOLUME**

### **Objective**

- F.1 To ensure that where a Suitable Volume of Urine for Analysis is not provided, appropriate procedures are followed.

### **Scope**

- F.2 The procedure begins with informing the Athlete that the Sample is not a Suitable Volume of Urine for Analysis and ends with the provision of a Sample of sufficient volume.

### **Responsibility**

- F.3 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. Requirements
- F.4 If the Sample collected is of insufficient volume, the DCO shall inform the Athlete that a further Sample shall be collected to meet the Suitable Volume of Urine for Analysis requirements.
- F.5 The DCO shall instruct the Athlete to select partial Sample Collection Equipment in accordance with Procedure D.7 of Annex D: Collection of Urine Samples.
- F.6 The DCO shall then instruct the Athlete 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 Athlete, that the container has been properly sealed.
- F.7 The DCO and the Athlete shall check that the equipment code number, and the volume and identity of the insufficient Sample are recorded accurately by the DCO. Either the Athlete or the DCO shall retain control of the sealed partial Sample.
- F.8 While waiting to provide an additional Sample, the Athlete shall remain under continuous observation and be given the opportunity to hydrate.
- F.9 When the Athlete is able to provide an additional Sample, the procedures for collection of the Sample shall be repeated as prescribed in Annex D: Collection of Urine Samples, until a sufficient volume of urine will be achieved by combining the initial and additional Sample(s).
- F.10 When the DCO is satisfied that the requirements for Suitable Volume of Urine for Analysis have been met, the DCO and Athlete 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.
- F.11 The DCO shall then direct the Athlete to break the seal(s) and combine the Samples, ensuring that additional Samples are added sequentially to the first entire Sample collected until, as a minimum, the requirement for Suitable Volume of Urine for Analysis is met.
- F.12 The DCO and Athlete shall then continue with the appropriate sections of Annex D: Collection of Urine Samples.

- F.13 The DCO shall check the residual urine to ensure that it meets the requirement for Suitable Volume of Urine for Analysis.
- F.14 Urine should only be discarded when both the A and B containers have been filled to capacity in accordance with Procedure D.19. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum.

## **ANNEX G: URINE SAMPLES THAT DO NOT MEET THE REQUIREMENT FOR SUITABLE SPECIFIC GRAVITY FOR ANALYSIS**

### **Objective**

- G.1 To ensure that when the urine Sample does not meet the requirement for Suitable Specific Gravity for Analysis, appropriate procedures are followed.

### **Scope**

- G.2 The procedure begins with the DCO informing the Athlete that a further Sample is required and ends with the collection of a Sample that meets the requirements for Suitable Specific Gravity for Analysis, or appropriate follow-up action by the IOC if required.

### **Responsibility**

- G.3 SOCHI 2014 is responsible for establishing procedures to ensure that a suitable Sample is collected. If the original Sample collected does not meet the requirements for Suitable Specific Gravity for Analysis, the DCO is responsible for collecting additional Samples until a suitable Sample is obtained.

### **Requirements**

- G.4 The DCO shall determine that the requirements for Suitable Specific Gravity for Analysis have not been met.
- G.5 The DCO shall inform the Athlete that he/she is required to provide a further Sample.
- G.6 While waiting to provide additional Samples, the Athlete shall remain under continuous observation.
- G.7 The Athlete shall be encouraged not to hydrate excessively, since this may delay the production of a suitable Sample.
- G.8 When the Athlete is able to provide an additional Sample, the DCO shall repeat the procedures for collection of the Sample as prescribed in Annex D: Collection of Urine Samples.
- G.9 The DCO should continue to collect additional Samples until the requirement for Suitable Specific Gravity for Analysis is met, or until the DCO determines that there are exceptional circumstances which mean that for logistical reasons it is impossible to continue with the Sample Collection Session. Such exceptional circumstances shall be documented accordingly by the DCO.
- G.10 In accordance with G.9, given the logistical nature of the Games it would typically be impossible to collect more than two (2) Samples from Athletes during one Doping Control session. As such, the IOC will typically require Athletes to provide one (1) additional Sample in the event the Athlete's Sample does not meet the requirements for Suitable Specific Gravity for Analysis.
- G.11 The DCO shall record that the Samples collected belong to a single Athlete and the order in which the Samples were provided.

- G.12 The DCO shall then continue with the Sample Collection Session in accordance with appropriate sections of Annex D: Collection of Urine Samples.
- G.13 If it is determined that none of the Athlete's Samples meets the requirement for Suitable Specific Gravity for Analysis and the DCO determines that for logistical reasons it is impossible to continue with the Sample Collection Session, the DCO may end the Sample Collection Session. In such circumstances, if appropriate, the IOC may investigate a possible anti-doping rule violation.
- G.14 The DCO shall send to the WADA-accredited laboratory for analysis all Samples which were collected, irrespective of whether or not they meet the requirement for Suitable Specific Gravity for Analysis.
- G.15 The WADA-accredited laboratory shall, in conjunction with the IOC, determine which Samples shall be analyzed.

## **ANNEX H: SAMPLE COLLECTION PERSONNEL REQUIREMENTS**

### **Objective**

- H.1 To ensure that Sample Collection Personnel have no conflict of interest and have adequate qualifications and experience to conduct Sample Collection Sessions.

### **Scope**

- H.2 Sample Collection Personnel requirements start with the development of the necessary competencies for Sample Collection Personnel and ends with the provision of identifiable accreditation.

### **Responsibility**

- H.3 SOCHI 2014 has the responsibility for all activities defined in this Annex H. Requirements - Qualifications and Training
- H.4 SOCHI 2014 shall determine the necessary competence and qualification requirements for the positions of DCO, Chaperone and Blood Collection Officer. SOCHI 2014 shall develop duty statements for all Sample Collection Personnel that outline their respective responsibilities. As a minimum:
- a) Sample Collection Personnel shall not be Minors; and
  - b) Blood Collection Officers shall have adequate qualifications and practical skills required to perform blood collection from a vein.
- H.5 SOCHI 2014 shall ensure that Sample Collection Personnel that have an interest in the outcome of the collection or Testing of a Sample from any Athlete 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 Athlete who might provide a Sample at that session.
- H.6 SOCHI 2014 shall ensure that Sample Collection Personnel are adequately qualified and trained to carry out their duties.
- H.7 The training program for Blood Collection Officers as a minimum shall include studies of all relevant requirements of the Testing process and familiarization with relevant standard precautions in healthcare settings.
- H.8 The training program for DCOs as a minimum shall include:
- a) comprehensive theoretical training in different types of Testing activities relevant to the DCO position;
  - b) observation of all Sample collection activities related to requirements in these Technical Procedures for Doping Control preferably on site; and

- c) the satisfactory performance of one complete Sample Collection Session on site under observation by a qualified DCO, or similar. The requirement related to the actual passing of Sample shall not be included in the on-site observations.
- H.9 As a prerequisite to join the SOCHI 2014 anti-doping program as a Doping Control Officer, the individual must already be a certified Doping Control Officer in good standing with a National Anti-Doping Organization.
- H.10 The training program for Chaperones shall include studies of all relevant requirements of the Sample collection process.
- H.11 SOCHI 2014 shall maintain records of education, training, skills and experience. Requirements - Accreditation, re-accreditation and delegation.
- H.12 SOCHI 2014 shall accredit and re-accredit Sample Collection Personnel.
- H.13 SOCHI 2014 shall ensure that Sample Collection Personnel have completed the training program and are familiar with the requirements in these rules before granting accreditation.
- H.14 Accreditation shall only be valid for the duration of the Olympic Games.
- H.15 Only Sample Collection Personnel that have an accreditation recognized by SOCHI 2014 shall be authorized by SOCHI 2014 to conduct Sample collection activities on behalf of the IOC.
- H.16 DCOs may personally perform any activities involved in the Sample Collection Session, with the exception of blood collection, or they may direct a Chaperone to perform specified activities that fall within the scope of the Chaperone's authorized duties.