

2017 UIPM Anti-Doping Procedures

TABLE OF CONTENTS

PART ONE: TESTING SPECIFIC DEFINITIONS AND SCOPE	2
Article 1 Testing Specific Definitions.....	2
Article 2 Scope	4
PART TWO: STANDARDS FOR TESTING	4
Article 3 UIPM Test Distribution Plan	4
Article 4 UIPM Registered Testing Pool and Whereabouts Filing.....	6
Article 5 Layout of UIPM Doping Controls.....	10
Article 6 Notification of Athletes	10
Article 7 Preparing for the Sample Collection Session	12
Article 8 Conducting the Sample Collection Session	19
Article 9 Doping Control Laboratories	24
Article 10 Analysis of Samples – Determination of Results	24
Article 11 General Medical Care to Athletes and Therapeutic Use Exemptions	26
Article 12 Doping Controls for Horses	27
PART THREE: STANDARDS FOR INTELLIGENCE	29
Article 13 Gathering, Assessment and Use of Intelligence	29
Article 14 Investigations.....	30
PART FOUR: RESULTS MANAGEMENT	31
Article 15 Composition and Responsibilities of the UIPM Doping Review Panel	31
Article 16 Procedures	31

PART ONE: TESTING SPECIFIC DEFINITIONS AND SCOPE

Article 1 Testing Specific Definitions

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

Chain of Custody: The sequence of individuals or organizations who have responsibility for the custody of a Sample from the provision of the Sample until the Sample has been delivered to the laboratory for analysis.

Chaperone: An official who is trained and authorized by the Sample Collection Authority to carry out specific duties including one or more of the following (at the election of the Sample Collection Authority): notification of the Athlete selected for Sample collection; accompanying and observing the Athlete until arrival at the Doping Control Station; accompanying and/or observing Athletes who are present in the Doping Control Station; and/or witnessing and verifying the provision of the Sample where the training qualifies him/her to do so.

Code Article 2.4 Whereabouts Requirements: The whereabouts requirements set out in Annex I of the International Standard for Testing and Investigations (ISTI), which apply to Athletes who are included in the Registered Testing Pool of an International Federation or a National Anti-Doping Organization.

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

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

Failure to Comply: A term used to describe anti-doping rule violations under UIPM Anti-Doping Rules Articles 2.3 and/or 2.5.

Filing Failure: A failure by the Athlete (or by a third party to whom the Athlete has delegated the task) to make an accurate and complete Whereabouts Filing that enables the Athlete to be located for Testing at the times and locations set out in the Whereabouts Filing or to update that Whereabouts Filing where necessary to ensure that it remains accurate and complete.

In-Competition Date: As defined in Article 7.3.3.

Missed Test: A failure by the Athlete to be available for Testing at the location and time specified in the 60-minute time slot identified in his/her Whereabouts Filing for the day in question.

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

Random Selection: Selection of Athletes for Testing which is not Target Testing.

Results Management Authority: The organization that is responsible, in accordance with Code Article 7.1, for the management of the results of Testing (or other evidence of a potential anti-doping rule



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violation) and hearings, whether (1) an Anti-Doping Organization (for example, the International Olympic Committee or other Major Event Organization, WADA, an International Federation, or a National Anti-Doping Organization); or (2) another organization acting pursuant to the authority of and in accordance with the rules of the Anti-Doping Organization (for example, a National Federation that is a member of an International Federation).

Sample Collection Authority: The organisation that is responsible for the collection of Samples in compliance with the requirements of the ISTI, whether (1) the Testing Authority itself; or (2) another organization (for example, a third party contractor) to whom the Testing Authority has delegated or subcontracted such responsibility (provided that the Testing Authority always remains ultimately responsible under the Code for compliance with the requirements of the ISTI relating to collection of Samples).

Sample Collection Equipment: Containers or apparatus used to collect or hold the Sample at any time during the Sample Collection Session. Sample Collection Equipment shall, as a minimum, consist of:

- i) For urine Sample collection:
 - a. Collection vessels for collecting the Sample as it leaves the Athlete's body;
 - b. Suitable kit for storing partial Samples securely until the Athlete is able to provide more urine; and
 - c. Sealable and tamper-evident bottles and lids for storing and transporting the complete Sample securely.
- ii) For blood Sample collection:
 - a. Needles for collecting the Sample;
 - b. Blood tubes with sealable and tamper-evident devices for storing and transporting the Sample securely.

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

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

Suitable Specific Gravity for Analysis: Specific gravity measured at 1.005 or higher with a refractometer, or 1.010 or higher with lab sticks.

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

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

Test Distribution Plan: A document written by an Anti-Doping Organization that plans Testing on Athletes over whom it has Testing Authority, in accordance with the requirements of Article 4 of the ISTI.

Testing Authority: The organization that has authorized a particular Sample collection, whether (1) an Anti-Doping Organization (for example, the International Olympic Committee or other Major Event Organization, WADA, an International Federation, or a National Anti-Doping Organization); or (2)

another organization conducting Testing pursuant to the authority of and in accordance with the rules of the Anti-Doping Organization (for example, a National Federation that is a member of an International Federation).

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

Whereabouts Failure: A Filing Failure or a Missed Test.

Whereabouts Filing: Information provided by or on behalf of an Athlete in a Registered Testing Pool that sets out the Athlete's whereabouts during the following quarter, in accordance with Article I.3 of the ISTI.

Article 2 Scope

All Athletes and Horses participating in or preparing for UIPM competitions listed in Article 1.7 UIPM Competition Rules are subject to doping controls (urine samples, blood tests and other authorised techniques for detecting Prohibited Substances or Methods) In-Competition and Out-of-Competition.

PART TWO: STANDARDS FOR TESTING

Article 3 UIPM Test Distribution Plan

- 3.1 A UIPM Test Distribution Plan is set up by the UIPM Medical Committee for each calendar year.
- 3.2 The UIPM is obliged under the *Code* to plan, conduct and document an effective number of In-Competition and Out-of-Competition tests on athletes over whom it has jurisdiction, including but not limited to athletes in its Registered Testing Pool. This UIPM Test Distribution Plan is based on the evaluation of the potential risk of doping and possible doping pattern in Modern Pentathlon, Modern Biathlon and Modern Triathlon considering the
- physical and other demands of the UIPM sports, in particular the physiological requirements of the sport;
 - possible performance-enhancing effect that doping may elicit;
 - the rewards available at the different levels of the UIPM sports;
 - discipline(s) and/or other potential incentives for doping;
 - available doping analysis statistics, intelligence gathering, monitoring and follow-up;
 - available research on doping trends;
 - information received/intelligence developed on possible doping practices in the sports;
 - the outcomes of previous test distribution planning cycles;
 - the history of doping in the UIPM sports and respective assessment;
 - potential doping patterns in the UIPM sports;
 - career analysis, training periods and the competition calendar;
 - and information received on possible doping practices.
- 3.3 The UIPM Test Distribution Plan is regularly reviewed and adapted to reflect new information gathered and intelligence developed by the UIPM, and to take into account Testing conducted by other *Anti-Doping Organizations*. This review will take place in agreement with WADA.



- 3.4 The UIPM Test Distribution Plan ensures that a significant amount of Testing of its Athletes, irrespective of whether they belong to the UIPM Registered Testing Pool or not, is undertaken as Target Testing. The factors that will be relevant to determining who shall be made subject to target testing by the chairperson of the UIPM Medical Committee shall be:
- i) Abnormal biological parameters;
 - ii) Injury;
 - iii) Withdrawal or absence from expected Competition;
 - iv) Going into or coming out of retirement;
 - v) Behaviour indicating doping;
 - vi) Sudden major improvements in performance;
 - vii) Repeated failure to provide Whereabouts Filings;
 - viii) Whereabouts Filings that may indicate a potential increase in the risk of doping, including moving to a remote location;
 - ix) Athlete sport performance history;
 - x) Athlete age;
 - xi) Athlete test history;
 - xii) Athlete serving a period of Ineligibility or a Provisional Suspension;
 - xiii) Athlete who was high priority for Testing before he/she retired from the sport and who now wishes to return from retirement to active participation in the sport;
 - xiv) Athlete reinstatement after a period of Ineligibility;
 - xv) Financial incentives for improved performance;
 - xvi) Athlete association with a third party such as coach or doctor with a history of involvement in doping;
 - xvii) And reliable information from a third party or intelligence developed by or shared with other *Anti-Doping Organization* in accordance with Section 11.0 ISTI.
- 3.5 The UIPM Test Distribution Plan will identify laboratories for analysis of the Samples which have been collected in a manner that is tailored to the particular circumstances of the UIPM sports. The UIPM will incorporate into its Test Distribution Plan a strategy for retention of Samples and the documentation relating to the collection of such Samples so as to enable the further analysis of such Samples at a later date in accordance with the *Code*, the International Standard for Laboratories and the International Standard for the Protection of Privacy and Personal Information, and shall take into account the purposes of analysis of Samples, as well as (without limitation) the following elements:
- i) Laboratory recommendations;
 - ii) The possible need for retroactive analysis in connection with the Athlete Biological Passport program;
 - iii) New detection methods to be introduced in the near future relevant to the Athlete and sports, and
 - iv) Samples collected from Athletes meeting some or all of the 'high risk' criteria.
- 3.6 Without any notice at any time and at any place, the UIPM has the right to carry out Doping Controls, with and without the assistance of WADA, of Athletes, including banned or suspended Athletes, and horses of UIPM members or who participate at UIPM Competitions. The members are required to support the work of the UIPM, especially in presenting the selected Athletes and horses and providing all necessary information, including on their training schedules giving date and place, as requested by the UIPM Headquarters by using



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WADA ADAMS as far as reasonable and feasible. This right of the UIPM relates to all sports practised within UIPM.

- 3.7 As a general rule Testing should take place between 5 a.m. and 11 p.m. unless valid grounds exist for Testing overnight, the fundamental principle remains that an Athlete may be required to provide a Sample at any time and at any place by the UIPM, whether or not the selection of the Athlete for Testing is in accordance with such criteria. Accordingly, an Athlete may not refuse to submit to Sample collection on the basis that such Testing is not provided for in the UIPM's Test Distribution Plan and/or is not being conducted between 5 a.m. and 11 p.m., and/or that the Athlete does not meet the relevant selection criteria for Testing or otherwise should not have been selected for Testing.
- 3.8 Save in exceptional and justifiable circumstances, all Testing shall be No Advance Notice Testing. The UIPM will ensure that Athlete selection decisions are only disclosed in advance of Testing to those who need to know in order for such Testing to be conducted.

Article 4 UIPM Registered Testing Pool and Whereabouts Filing

- 4.1 The 15 top ranked Athletes, male as well as female, on the World Ranking List in Modern Pentathlon, as of 1 January each year, and the gold medal winners at the previous World Championships and Olympic Games, if not included on the World Ranking List, as well as the World Champions male and female in Biathle and Triathle form the UIPM Registered Testing Pool. Also Athletes who are serving periods of Ineligibility as consequences of Anti-Doping Rule violations and those UIPM Athletes who retired at a time when they were in the UIPM Registered Testing Pool and who wish to return from that period of retirement to active participation in the sport are part of the UIPM Registered Testing Pool. The UIPM may also include in the UIPM Registered Testing Pool those of its Athletes whom it wishes to target for testing. The UIPM will notify each Athlete designated for inclusion in the UIPM Registered Testing Pool, either directly or through the respective National Federation of the fact that the Athlete has been designated for inclusion, of the whereabouts requirements ensuing from this inclusion and of the potential consequences if the Athlete fails to comply with these requirements.
- 4.2 An Athlete included in the UIPM Registered Testing Pool or its agent (coach, manager, National Federation) is subject to confirmation of the Athlete's consent to the sharing of his/her Whereabouts Filing with other *Anti-Doping Organizations* that have Testing Authority over him/her, to notification of the details of any impairment of the Athlete that may affect the procedure to be followed in conducting a Sample Collection Session, and the whereabouts requirements set out in the ISTI. They must file by 31 December, 31 March, 30 June, 30 September each year accurate and complete information about the Athlete's Whereabouts during the forthcoming quarter, including identifying by using WADA ADAMS, for each day during the following quarter: the full address of the place where the Athlete will be staying overnight (e.g., home, temporary lodgings, hotel, etc); for each day during the following quarter, the name and address of each location where the Athlete will train, work or conduct any other regular activity (e.g. school), as well as the usual timeframes for such regular activities; and the Athlete's Competition schedule for the following quarter, including the name and address of each location where the Athlete is scheduled to compete during the quarter and the date(s) on which he/she is scheduled to compete at such location(s). A failure to do so amounts to a Filing and Whereabouts Failure.



- 4.3 An Athlete included in the UIPM Registered Testing Pool or its agent is also required to specify in their Whereabouts Filing, for each day in the forthcoming quarter, one specific 60-minute time slot between 5 am and 11 pm where the Athlete will be available at a specified location for Testing. This does not limit in any way the Athlete's obligation to be available for Testing at any time and place. Nor does it limit the Athlete's obligation to provide the Whereabouts information as to the Athlete's whereabouts outside of that 60-minute time slot. However, if the Athlete is not available for Testing at such location during the 60-minute time slot specified for that day in the athlete's Whereabouts Filing, and has not updated this Whereabouts Filing prior to that 60-minute time slot to provide an alternative time slot/location for that day, that failure shall amount to a Missed Test and shall constitute a Whereabouts Failure.
- 4.4 It is the Athlete's responsibility to ensure that he/she provides all of the information required in a Whereabouts Filing accurately and in sufficient detail to enable any *Anti-Doping Organization* wishing to do so to locate the Athlete for Testing on any given day in the quarter at the times and locations specified by the Athlete in his/her Whereabouts Filing for that day, including but not limited to during the 60-minute time slot specified for that day in the Whereabouts Filing. More specifically, the Athlete must provide sufficient information to enable the DCO to find the location, to gain access to the location, and to find the Athlete at the location. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of Sample collection under UIPM Anti-Doping Rules Article 2.3, and/or Tampering or Attempted Tampering with Doping Control under UIPM Anti-Doping Rules Article 2.5. In any event, the UIPM will consider Target Testing of the Athlete. If the Athlete is tested during such a time slot, the Athlete must remain with the DCO until the Sample collection has been completed, even if this takes longer than the 60-minute time slot. A failure to do so shall be pursued as an apparent violation of UIPM Anti-Doping Rules Article 2.3 (refusal or failure to submit to Sample collection).
- 4.5 Where a change in circumstances means that the information in a Whereabouts Filing is no longer accurate or complete, the Athlete must file an update so that the information on file is again accurate and complete. In particular, the Athlete must always update his/her Whereabouts Filing to reflect any change in any day in the quarter in question in the time or location of the 60-minute time slot and/or in the place where he/she is staying overnight. The Athlete must file the update as soon as possible after the circumstances change, and in any event prior to the 60-minute time slot specified in his/her filing for the day in question. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of Sample collection under UIPM Anti-Doping Rules Article 2.3, and/or Tampering or Attempted Tampering with Doping Control under UIPM Anti-Doping Rules Article 2.5. In any event, the UIPM will consider Target Testing of the Athlete.
- 4.6 Any Athlete who provides fraudulent information in the athlete's Whereabouts Filing, whether in relation to the Athlete's location during the specified daily 60-minute time slot, or in relation to the Athlete's Whereabouts outside that time slot, or otherwise, thereby commits an Anti-Doping Rule violation (Evading Sample collection and/or Tampering or Attempting to Tamper with Doping Control).
- 4.7 In case of delegation of making some or all of the Athlete's Whereabouts Filings to an agent and in general, each Athlete in the UIPM Registered Testing Pool remains ultimately responsible at all times for making accurate and complete Whereabouts Filings. It shall not be a defence to an allegation of a Filing Failure that the Athlete delegated such responsibility to a third party and that third party failed to comply with the applicable requirements.



- 4.8 Each Athlete in the UIPM Registered Testing Pool remains personally responsible at all times for ensuring that he/she is available for testing at the Whereabouts declared on the Athlete's Whereabouts Filings, whether the Athlete made that filing personally or delegated it to a third party or a mixture of the two. It shall not be a defence to an allegation of a Missed Test that the Athlete had delegated responsibility for filing the Athlete's Whereabouts information for the relevant period to a third party and that third party had failed to file the correct information or failed to update previously-filed information so as to ensure that the Whereabouts information in the Whereabouts Filing for the day in question was current and accurate.
- 4.9 An Athlete may only be declared to have committed a Filing Failure where the UIPM Doping Review Panel establishes each of the following:
- i) that the Athlete was duly notified (i) that he/she had been designated for inclusion in a Registered Testing Pool; (ii) of the consequent requirement to make Whereabouts Filings; and (iii) of the Consequences of any Failure to Comply with that requirement;
 - ii) that the Athlete failed to comply with that requirement by the applicable deadline;
 - iii) (in the case of a second or third Filing Failure in the same quarter) that he/she was given due notice of the previous Filing Failure, and (if that Filing Failure revealed deficiencies in the Whereabouts Filing that would lead to further Filing Failures if not rectified) was advised in the notice that in order to avoid a further Filing Failure he/she must file the required Whereabouts Filing (or update) by the deadline specified in the notice (which must be no less than 24 hours after receipt of the notice and no later than the end of the month in which the notice is received) and yet failed to rectify that Filing Failure by the deadline specified in the notice; and
 - iv) that the Athlete's Failure to Comply was at least negligent. For these purposes, the Athlete will be presumed to have committed the failure negligently upon proof that he/she was notified of the requirements, yet failed to comply with them. That presumption may only be rebutted by the Athlete establishing that no negligent behaviour on his/her part caused or contributed to the failure.
- 4.10 To ensure fairness to the Athlete, where an unsuccessful attempt has been made to test an Athlete during one of the 60-minute time slots specified in his/her Whereabouts Filing, any subsequent unsuccessful attempt to test that Athlete (by the UIPM or any other *Anti-Doping Organization*) during one of the 60-minute time slots specified in his/her Whereabouts Filing may only be counted as a Missed Test (or, if the unsuccessful attempt was because the information filed was insufficient to find the Athlete during the time slot, as a Filing Failure) against that Athlete if that subsequent attempt takes place after the Athlete has received due notice of the original unsuccessful attempt.
- 4.11 An Athlete may only be declared to have committed a Missed Test where the UIPM Doping Review Panel can establish each of the following:
- i) that when the Athlete was given notice that he/she had been designated for inclusion in a Registered Testing Pool, he/she was advised that he/she would be liable for a Missed Test if he/she was unavailable for Testing during the 60-minute time slot specified in his/her Whereabouts Filing at the location specified for that time slot;
 - ii) that a DCO attempted to test the Athlete on a given day in the quarter, during the 60-minute time slot specified in the Athlete's Whereabouts Filing for that day, by visiting the location specified for that time slot;



- iii) that during that specified 60-minute time slot, the DCO did what was reasonable in the circumstances (i.e. given the nature of the specified location) to try to locate the Athlete, short of giving the Athlete any advance notice of the test;
 - iv) that Article 4.10 above does not apply or (if it applies) was complied with; and
 - v) that the Athlete's failure to be available for Testing at the specified location during the specified 60-minute time slot was at least negligent. For these purposes, the Athlete will be presumed to have been negligent upon proof of the matters set out at Article 4.11 i – iv) above. That presumption may only be rebutted by the Athlete establishing that no negligent behaviour on his/her part caused or contributed to his/her failure (i) to be available for Testing at such location during such time slot, and (ii) to update his/her most recent Whereabouts Filing to give notice of a different location where he/she would instead be available for Testing during a specified 60-minute time slot on the relevant day.
- 4.12 Besides the UIPM another *Anti-Doping Organization* may have jurisdiction to test an Athlete in the UIPM Registered Testing Pool and to record a Missed Test.
- 4.13 An Athlete in the UIPM Registered Testing Pool shall be deemed to have committed an Anti-Doping Rule violation if the Athlete commits a total of three Whereabouts Failures, which may be any combination of Filing Failures and/or Missed Tests adding up to three in total, within any 12-month period, irrespective of which *Anti-Doping Organization* has declared the Whereabouts Failures in question.
- 4.14 The 12-month period starts to run on the date that an Athlete commits a Whereabouts Failure. It is not affected by any successful Sample collection conducted with regard to that Athlete during the 12-month period, id est, if three Whereabouts Failures occur during the 12-month period, then an Anti-Doping Rule violation is committed, irrespective of any Samples successfully collected from the Athlete during that 12-month period. However, if an Athlete who has committed one Whereabouts Failure does not go on to commit a further two Whereabouts Failures within 12 months of the first, at the end of that 12-month period the first Whereabouts Failure expires for purposes of establishing an Anti-Doping Rule violation.
- 4.15 This Whereabouts information, safely and securely stored by using WADA ADAMS, is shared by UIPM with WADA and other *Anti-Doping Organizations* having jurisdiction to test an Athlete on the strict condition that it be used only for Doping Control purposes. The UIPM may agree with a National Anti-Doping Organization which of them shall take responsibility for receiving the Whereabouts Filings of Athletes who are in two Registered Testing Pools. The UIPM Chairman of the Medical Committee is responsible to ensure that the Whereabouts information can be accessed by authorized individuals acting on behalf of the UIPM on a need-to-know basis only, by WADA and by other *Anti-Doping Organizations* with testing jurisdiction over the Athlete. The UIPM Chairman of Medical Committee further ensures that the Whereabouts information is maintained in strict confidence at all times, is used by the UIPM exclusively for the purpose of planning, coordinating or conducting Testing, and is destroyed in accordance with relevant confidentiality requirements after it is no longer relevant.
- 4.16 An Athlete who has been identified by the UIPM for inclusion in the UIPM's Registered Testing Pool will continue to be subject to the Whereabouts requirements specified above, unless and until the Athlete gives written notice to the UIPM that he/she has retired or until he/she no longer satisfies the criteria for inclusion into the UIPM's Registered Testing Pool and has been so informed by the UIPM. An athlete who has given notice of retirement to the UIPM may not resume competing unless he/she notifies the UIPM at least twelve months before he/she

expects to return to competition and is available for unannounced Out-of-Competition Testing, at any time during the period before actual return to competition.

- 4.17 Where an Athlete retires from but then returns to sport, his/her period of non-availability for Out-of-Competition Testing will be disregarded for purposes of calculating the 12-month period.

Article 5 Layout of UIPM Doping Controls

- 5.1 Doping Controls take place in substantial conformity with the current ISTI (including revisions that are continuously published by WADA). Completed tests are promptly reported through the WADA clearinghouse to avoid unnecessary duplication in Testing.
- 5.2 Doping Controls at Olympic Games, World Championships, World Cup Finals and Olympic Qualification Competitions in all UIPM sports are conducted under the supervision or in the presence of a UIPM Medical Delegate, Member of the UIPM Medical Committee.
- 5.3 Doping Controls at World Cups, Continental and Regional Championships, CISM Championships and Category “B” UIPM competitions in all UIPM sports are conducted by persons accredited by the official National medical federation or association or governmental body. The UIPM Medical Committee is entitled to delegate its members to supervise these controls.
- 5.4 Doping Controls at Category “C” UIPM competitions are conducted by the hosting National Federation in application of these Rules.
- 5.5 Out-of-Competition Testing is conducted by Sample collection authorities authorized by WADA or other Sample collection authorities or organisations authorized by UIPM. Such Testing can also be conducted by UIPM Medical Delegates authorised by the UIPM Executive Board upon proposal of the UIPM Medical Committee. Out-of-Competition Testing is subject to the UIPM Anti-Doping Rules and to these Rules.

Article 6 Notification of Athletes

- 6.1 Notification of Athletes starts when the Sample Collection Authority 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 Testing Authority’s attention. The main activities are:
- i) Appointment of DCOs, Chaperones and other Sample Collection Personnel;
 - ii) Locating the Athlete and confirming his/her identity by either his/her license or any other identity document. The means of identification of the Athlete shall be documented on the Doping Control form;
 - iii) Informing the Athlete that he/she has been selected to provide a Sample and of his/her rights and responsibilities;
 - iv) for No Advance Notice Testing, continuously chaperoning the Athlete from the time of notification to the arrival at the designated Doping Control Station; and
 - v) documenting the notification, or notification attempt.
- 6.2 Requirements Prior to Notification of Athletes



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- 6.2.1 It is the responsibility of the Medical Delegates and other authorised agents and persons (Doping Control Officers – DCO), to ensure that the Doping Controls are conducted correctly. The UIPM uses DCOs of the respective NADOs, trained by them for their responsibilities, they must not have a conflict of interests in the outcome of the Sample collection and must not be Minors. DCOs shall have official authorisation documentation by their NADOs which includes their name, photograph and the expiry date of the identification. Sample collection personnel and Chaperones shall be adequately trained by their NADOs in a programme, which shall include studies of all relevant requirements of the Sample collection process. Thereafter they shall be accredited by their NADOs for a maximum of two years with the possibility of re-accreditation after having completed a training programme within the year prior to re-accreditation. Only such Sample collection personnel/Chaperones accredited by their NADOs shall be authorised to conduct Sample collection activities on behalf of the UIPM.
- 6.2.2 The training programme for DCOs as a minimum shall include comprehensive theoretical training in different types of testing activities relevant to DCO position, observation of all doping controls activities, preferably on site, and a supervised satisfactory performance of one complete Sample collection session.
- 6.2.3 The main tasks of these DCOs are:
- i) Inspection of the Doping Control Station where the samples are to be taken;
 - ii) Ensuring that the necessary material for collecting the samples is available;
 - iii) Technical guidance of the Doping Control Station personnel appointed by the Pentathlon Director on behalf of the Organising Committee;
 - iv) Cooperation with the UIPM Technical Delegate at the selection of the UIPM athletes for examination;
 - v) Verification of the identity of the UIPM Athletes to be controlled;
 - vi) Collection of samples, their coding and sealing, recording and packing as well as dispatching or surveillance of the whole process;
 - vii) Writing a report to be addressed to the UIPM Secretary General.
- 6.2.4 The Pentathlon Director or other Competition Director is obliged to appoint one or more male and/or female chaperones to support the DCOs in the implementation of the controls.
- 6.2.5 The Organising Committee will establish a secure Doping Control Station which must consist of:
- i) Control Room (table, chairs, wash stand);
 - ii) An Integrated Toilet;
 - iii) A Waiting Room for Athletes and their associated representatives.
- 6.2.6 The Doping Control Station must be situated near the arena and clearly marked outside, as laid down by Annex 1, which is an integral part of these Rules. Adequate transport for the Medical Delegates, agents and persons authorised must be provided by the Organising Committee prior, during and after the competition and, whenever needed otherwise.
- 6.2.7 Only the following persons are permitted to enter the Doping Control Station:



- i) The Medical Delegates, authorised agents and persons, UIPM Technical Delegates/National Technical Observers and appointed assistants as well as international observers as specified by the chairperson of the Medical Committee;
- ii) the Athlete to be controlled and his associated representative and/or interpreter, a minor Athlete's representative as well as an impaired Athlete's representative;
- iii) the UIPM President or appointed UIPM Executive Board Member and the UIPM Secretary General;
- iv) a WADA Observer, where applicable under the Independent Observer Program.

6.3 Requirements for Notification of Athletes

6.3.1 The Athlete shall be the first person notified that he/she has been selected for Sample collection, except where prior contact with a third party is required as specified below.

6.3.2 The DCO or Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification of the Athlete, when the Athlete is a Minor, or where required by an Athlete's impairment, or in situations where an interpreter is required and available for the notification.

6.3.3 When initial contact is made, the DCO or Chaperone, as applicable, shall ensure that the Athlete and/or a third party (if so required) is informed:

- i) That the Athlete is required to undergo a Sample collection;
- ii) of the authority under which the Sample collection is to be conducted;
- iii) of the type of Sample collection and any conditions that need to be adhered to prior to the Sample collection;
- iv) of the Athlete's rights, including the right to:
 - a. Have a representative and, if available, an interpreter accompany him/her;
 - b. Ask for additional information about the Sample collection process;
 - c. Request a delay in reporting to the Doping Control Station for valid reasons; and
 - d. Request modifications for Athletes with Impairments.
- v) of the Athlete's responsibilities, including the requirement to:
 - a. Remain within direct observation of the DCO/Chaperone at all times from the point initial contact is made by the DCO/Chaperone until the completion of the Sample collection procedure;
 - b. Produce identification;
 - c. Comply with Sample collection procedures (and the Athlete should be advised of the possible Consequences of Failure to Comply); and
 - d. Report immediately for Sample collection, unless there are valid reasons for a delay, as determined in these Rules.
- vi) of the location of the Doping Control Station;
- vii) that, should the Athlete choose to consume food or fluids prior to providing a Sample, he/she does so at his/her own risk;
- viii) not to hydrate excessively, since this may delay the production of a suitable Sample; and
- ix) that any urine 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.

Article 7 Preparing for the Sample Collection Session



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7.1 Urine Controls

7.1.1 The UIPM only uses Sample collection equipment systems which, at a minimum, have a unique numbering system incorporated into all bottles, containers, tubes or other item used to seal the Sample; have a sealing system that is tamper evident; ensure that the identity of the Athlete is not evident from the equipment itself, and ensure that all equipment is clean and sealed prior to use by the Athlete. The UIPM has set up a system for recording the Chain of Custody.

7.1.2 Selection and Number of Athletes for Urine Control

- i) As a matter of principle, the best-placed Athletes plus a number of female and/or male Athletes whose names will be drawn by lot have to undergo the urine control. The draw is being done directly after the start of the last athlete. UIPM reserves deviation from this principle and procedure in case of justified reason for targeting other athletes.
- ii) The chairperson of the UIPM Medical Committee can modify the selection for urine control without previous notice.
- iii) WADA is authorised to select UIPM Athletes for Out-of-Competition control from the UIPM Registered Testing Pool.
- iv) The name of the Athlete to be tested is communicated to them in person at their finish. When initial contact is made, the DCO must ensure that the Athlete is informed on his/her rights and responsibilities and on the location of the Doping Control Station. It is a right of the Athlete to have a representative (accompanying official) and interpreter, ask for additional information about the Sample collection process, request a delay in reporting to the DCS for valid reasons and request modifications in case of an Athlete with disabilities. It is the Athlete's responsibility to remain within the sight of the DCO and Chaperone at all times from the first moment of in-person notification by the DCO until the completion of the Sample collection procedure, produce identification if requested so, comply with Sample collection procedures and report immediately for a test, unless there are valid reasons for a delay. The DCO must inform the Athletes should they choose to consume food or fluids prior to providing a Sample that they do so at their own risk, and should in any event avoid excessive re-hydration. The Sample provided should be the first urine passed by the Athlete subsequent to notification.
- v) The Athletes must ensure to be informed and are not allowed to leave the place of competition, without verification if they are selected for Anti-Doping Control.

7.1.3 Examples for Urine Control Selection



WORLD CHAMPIONSHIPS FOR INDIVIDUAL

<i>After</i>	<i>No. of best placed</i>	<i>No. to be drawn</i>	<i>Total</i>
QUALIFICATION FOR THE FINAL		One athlete from each group	1 x n° groups
FINAL	1 st - 2 nd - 3 rd	One Athlete	4

WORLD CHAMPIONSHIPS RELAY

<i>After</i>	<i>No. of best placed</i>	<i>No. to be drawn</i>	<i>Total</i>
After last event	One Athlete from 1 st , 2 nd , 3 rd team drawn by lot	One Athlete from one other team	4

WORLD CHAMPIONSHIPS MIXED RELAY

<i>After</i>	<i>No. of best placed</i>	<i>No. to be drawn</i>	<i>Total</i>
After last event	One Athlete from 1 st , 2 nd , 3 rd team drawn by lot	One Athlete from one other team	4

CONTINENTAL, REGIONAL CHAMPIONSHIPS, WORLD CUPS and other "One Day" Competitions

<i>After</i>	<i>No. of best placed</i>	<i>No. to be drawn</i>	<i>Total</i>
QUALIFICATION FOR THE FINAL		One Athlete from each group	1 x n° groups
FINAL	1 st - 2 nd - 3 rd	One Athlete	4

WORLD CUP FINAL

<i>After</i>	<i>No. of best placed</i>	<i>No. to be drawn</i>	<i>Total</i>
FINAL	1 st - 2 nd - 3 rd	One Athlete	4

BIATHLE WORLD CHAMPIONSHIPS

<i>After</i>	<i>No. of best placed</i>	<i>No. to be drawn</i>	<i>Total</i>
SENIOR FINAL	1 st	One Athlete	2
JUNIOR FINAL	1 st	One Athlete	2

UIPM CATEGORY "B" COMPETITIONS

<i>After</i>	<i>No. of best placed</i>	<i>No. to be drawn</i>	Total
Each Competition	1 st	Two Athletes	3



7.1.4 Preparation at the Doping Control Station

- i) The Athletes selected for urine control are obliged to report to the Doping Control Station submitting an identification document, immediately after the end of competition. An escort of the Doping Control will be with the Athlete all the time. The athletes are entitled to be accompanied by an official of their team and by an interpreter.
- ii) One of the Chaperones will prepare a Record of Doping Control, in duplicate, which must include the name of the Athlete, the country she/he represents, the time of request and the time of arrival at the Doping Control Station. The Athlete must declare any medication he/she may have taken in the preceding three days. One part of the form certifies proper notification confirmed by signature of the Athlete. If the Athletes refuse to sign that they have been notified, or evade the notification, the Chaperone shall if possible inform the Athlete of the consequences of refusing or failing to comply, and the Chaperone shall immediately report all relevant facts to the DCO. When possible the DCO shall continue to collect a Sample and shall document the facts and circumstances in a detailed report to the UIPM.
- iii) The DCO/Chaperones may at their discretion consider any reasonable third party requirement or any request by the Athlete for permission to delay reporting to the DCS following acknowledgement and acceptance of notification, and/or leave the DCS 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:
 - a. For In-Competition Testing
 - Participation in a victory or flower ceremony;
 - Fulfilment of media commitments;
 - Competing in further competitions;
 - Performing of a warm down;
 - Obtaining necessary medical treatment;
 - Locating a representative and/or interpreter;
 - Obtaining photo identification;
 - Any other exceptional circumstances which may be justified, and which shall be documented.
 - b. For Out-of-Competition Testing
 - Locating a representative;
 - Completing a training session;
 - Receiving necessary medical treatment;
 - Obtaining photo identification;
 - Any other exceptional circumstances which can be justified, and which shall be documented.
- iv) The DCO or other authorised person shall document any reasons for delay in reporting to the DCS and/or reasons for leaving the DCS that may require further investigation by the UIPM. Any failure of the Athlete to remain under constant observation should also be recorded.
- v) If the Athlete delays reporting to the DCS other than in accordance with number i) above but arrives prior to the DCO's departure, the DCO shall decide whether to process a possible failure to comply. If at all possible the DCO shall proceed with collecting a Sample, and shall document the details of the delay in the Athlete reporting to the DCS.
- vi) Minor Athletes may be accompanied by a representative throughout the entire Sample collection session. This includes confirming wherever necessary that the organiser of the



Event obtains the necessary parental consent for Testing any participating Athlete who is a Minor. 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. In planning or arranging Sample collection, the Sample Collection Authority 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. The DCO and the Sample Collection Authority 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. Athletes who are Minors should be notified in the presence of an adult, and may choose to 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 is observing the Sample provision correctly. Even if the Minor declines a representative, the Sample Collection Authority, DCO or Chaperone, as applicable, shall consider whether another third party ought to be present during notification of and/or collection of the Sample from the Athlete. The DCO shall determine who (in addition to the Sample Collection Personnel) may be present during the collection of a Sample from an Athlete who is a Minor, namely a representative of the Minor to observe the Sample Collection Session (including observing the DCO when the Minor is passing the urine Sample, but not directly observing the passing of the urine Sample unless requested to do so by the Minor) 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. Should an Athlete who is 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. The preferred venue for all Out-of-Competition Testing of a Minor is a location where the presence of an adult is most likely, e.g., a training venue. The Sample Collection Authority 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.

- vii) An Athlete with an intellectual, physical or sensorial disability may be assisted by the Athlete's representative or DCS staff during the Sample collection session where authorised by the Athlete and agreed by the DCO. The DCO can decide and must report that alternative Sample collection equipment or facilities will be used, if necessary and as long as the Sample's identity, security and integrity will not be affected. 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, unused catheter or drainage system. The catheter or drainage system is not a required part of Sample Collection Equipment to be provided by the Sample Collection Authority; instead it is the responsibility of the Athlete to have the necessary equipment available for this purpose. The Sample Collection Authority 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 an impairment. All aspects of notification and Sample collection for Athletes with impairments shall be carried out in accordance with the standard notification and Sample collection procedures, including Sample Collection Equipment and facilities unless modifications are necessary due to the Athlete's



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

- viii) The Athlete and the accompanying person must remain in the Doping Control Station's waiting room under supervision until the Athlete is called into the consulting area. The Athlete and any personal belongings he or the accompanying person bring with them (clothing, bags, etc.) may be searched for evidence of manipulation, upon entering and leaving the Doping Control Station. If, while keeping the Athlete under observation, DSC personnel or Chaperones 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 investigate a possible Failure to Comply, and/or consider if it is appropriate to collect an additional Sample from the Athlete.
- ix) In case of possible failure to comply the UIPM Secretary General will notify WADA and instigate an investigation by the UIPM Doping Review Panel based on all relevant information and documentation, will inform the Athlete or other party in writing and offer them the opportunity to respond. The evaluation process is documented. The final determination is made available to WADA and the respective *Anti-Doping Organizations*. The Athlete concerned will be followed-up by target testing.
- x) The Athlete shall only leave the DCS under continuous observation by a Chaperone and with the approval of the DCO. The DCO shall consider any reasonable such request by the Athlete, until the Athlete is able to provide a Sample. If the DCO gives approval, the DCO shall agree with the Athlete on the following conditions of leave and document them:
 - a. The purpose of the Athlete leaving the DCS;
 - b. The time of return;
 - c. Observation at all times;
 - d. No passing of urine until the athletes get back to the DCS.
- a. No photographs, video or tape recordings may be taken inside the Doping Control Station during the doping control procedure.
- b. The DCO shall provide the Athlete with the opportunity to hydrate. The Athlete should avoid excessive rehydration, having in mind the requirement to provide a Sample with a Suitable Specific Gravity for Analysis.

7.2 Blood and Gene Controls

7.2.1 Blood controls of UIPM Athletes are organised to determine the values of the Athlete Biological Passport (ABP) parameters in blood Samples. Controls are also organized to detect, whether gene or cell doping, i.e. the non-therapeutic use of genes, genetic elements and/or cells that have the capacity to enhance athletic performance, has taken place. At all such controls it must be ensured that the health and safety of the Athlete and Sample collection personnel are not compromised, that the Sample is of a quality and quantity that meets the relevant analytical guidelines, that the Sample has not been manipulated, substituted, contaminated or otherwise tampered with in any way, that the Sample is clearly and accurately identified and that the Sample is securely sealed.

7.2.2. It is the responsibility of the DCO to ensure that each Sample is properly collected, identifies and sealed and that all Samples have been properly stored and dispatched in accordance with the relevant analytical guidelines. The Blood Collection Officer has the duty to collect the blood Sample, answer related questions during the provision of the Sample and dispose properly of used blood sampling equipment not required for completing the Sample collection session in accordance with the local standards for handling blood.

7.2.3 Blood Sample collection equipment shall consist of a single sample tube for blood profiling purposes or both an A and B sample tube for blood analysis or as otherwise specified by the relevant laboratory.

7.2.4 Selection of Athletes for Blood Controls

- i) As a rule, a certain number of Athletes, whose names will be selected, must undergo a blood control. Blood controls will be conducted in selected competitions or whenever decided by the chairperson of the UIPM Medical Committee.
- ii) All blood Samples shall only be taken by qualified personnel (Blood Collection Officer) appointed by the UIPM Medical Committee or other DCO. Sample collection personnel shall not be Minors and Blood Collection Officers shall have adequate qualifications and practical skills required to perform blood collection from a vein. Sample collection personnel that have an interest in the outcome of the collection or testing of a Sample from an Athlete who might provide a Sample at a session must not be appointed to that Sample collection session. This goes, in particular, if they are involved in the planning of the sport for which testing is being conducted, or are related to, or involved in the personal affairs of, any Athlete who might provide a Sample at that session. Blood Collection Officers shall be adequately trained in a programme, which as a minimum shall include studies of all relevant requirements of the testing process and familiarization with relevant standard precautions in healthcare settings. Thereafter they shall be accredited by the UIPM for a maximum of two years with the possibility of re-accreditation after having completed a training programme within the year prior to re-accreditation. Only such Blood Collection Officers accredited by the UIPM shall be authorised to conduct Sample collection activities on behalf of the UIPM.
- iii) Any Athlete may be selected for blood control by a Member of the UIPM Medical Committee and/or President of the UIPM. WADA is authorised to selection as agreed upon with the UIPM.
- iv) The selected Athletes will be informed by the officials mentioned above and must sign a document of acknowledgement, which includes the time of Sampling.

7.3 Out-of-Competition-Controls

7.3.1 Out-of-Competition tests are Doping Controls in addition to those conducted at and during UIPM competitions. Out-of-Competition testing ends 12 hours before the start of a competition and start at the earliest 12 hours after a competition has ended.

7.3.2 The Chairperson of the UIPM Medical Committee decides the site and time of the controls, after having selected the Athletes from the UIPM Registered Testing Pool to be controlled. WADA is authorised to select as agreed upon by the UIPM.

7.3.3 The DCO must present his identity card and his appointment letter.

7.3.4 Should a Minor fall within the UIPM Registered Testing Pool, the preferred venue for all Out-of-Competition Testing is allocation where the presence of an adult is most likely, e.g. training venue.

Article 8 Conducting the Sample Collection Session

8.1 Urine Controls

8.1.1 Only one Athlete at a time shall be called into the Control room.

8.1.2 The Athlete shall select a collection vessel, visually check that it is empty and clean, that all seals on the selected vessel are intact and that the equipment has not been tampered with. There must be a sufficient number of clean containers available for selection, at least one more than the number of Athletes to be controlled. If the Athlete is not satisfied with the selected vessel, 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. If the DCO does not agree with the Athlete's opinion that all the collection vessels available for the selection are 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 the collection vessels available for the selection are unsatisfactory, the DCO shall terminate the collection of the Athlete's urine Sample and this shall be recorded by the DCO.

8.1.3 The Athlete who will be naked from the waist downward to the knees must urinate in an area of privacy in a container selected by him/herself thereby being closely supervised by a Chaperone being of the same gender as the Athlete. The DCO/Chaperone should where practicable ensure that the Athletes thoroughly washed their hands prior to the provision of the Sample. 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.

8.1.4 The collected urine Sample must comprise at least 75 ml. The Athlete shall return to the Control room with the collection vessel containing the urine and shall retain control of the collection vessel and any Sample provided until the Sample is sealed. The DCO or Chaperone shall witness the Sample leaving the Athlete's body and record the witnessing in writing.

8.1.5 The DCO shall use the relevant laboratory's specifications to verify, in full view of the Athlete, that the volume of the urine Sample satisfies the laboratory's requirements for analysis. If insufficient urine has been provided by the Athlete, the partial Sample must be placed in a container and sealed. The DCO shall check, in full view of the Athlete, that the container has been properly sealed. 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. The Athlete will remain under continuous observation until further urine has been provided and Sample taking procedures are complete, and be given the opportunity to hydrate. If the requested urine volume of 75 ml has been provided, the DCO shall 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 urine volume of 75 ml is met.

8.1.6 The DCO shall instruct the Athlete to select a Sample collection kit containing two bottles (for A and B samples). 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. 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 the above procedure and record the matter. The Athlete him/herself will pour the urine into the bottles, that is to say first the minimum volume of 30 ml urine into the B bottle, and then fill the A bottle as much as possible



(to a minimum of 60 ml and to capacity as per the recommendation of the equipment manufacturer). The Athlete shall then fill the B bottle per recommendation of the equipment manufacturer with the remaining urine. A few drops of urine shall remain in the collection vessel in order to enable the DCO to test that residual urine has a suitable specific gravity for analysis. Urine should only be discarded when both the A and B bottles have been filled as described before. Next, the Athlete shall seal the bottles as directed by the DCO. The DCO shall check, in full view of the Athlete, that the bottles have been properly sealed. Each A and B containers is to be placed in another container which are to be closed and sealed immediately after the Samples have been selected.

- 8.1.7 Using the residual volume of urine in the collection container, suitable specific gravity for analysis must be measured by the DCO, as guided by the laboratory. This suitable specific gravity for analysis will be recorded on the Record of Doping Control. If the DCO's field reading indicates that the Sample does not have a suitable specific gravity for analysis, then the DCO shall require the Athletes that they provide a further Sample until the demanded 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. While waiting to provide an additional Sample, the Athlete shall remain under continuous observation. The DCO shall record that the Samples collected belong to a single Athlete and the order in which the Samples were provided. 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 chairperson of the UIPM Doping Review Panel may investigate a possible Anti-Doping Rule violation. The DCO shall send to the laboratory for analysis all Samples which were collected, irrespective of whether or not they meet the requirement for suitable specific gravity for analysis. The laboratory shall, in conjunction with the UIPM, determine which Samples shall be analysed.
- 8.1.8 The details of the Record of Doping Control are ruled by Annex 2, which is an integral of these Rules.
- 8.1.9 Any behaviour by the Athlete and/or persons associated with the Athlete or anomalies with potential to compromise the Sample collection shall be recorded in detail by the DCO. If there are doubts as to the origin or authenticity of the Sample, the Athlete shall be asked to provide an additional Sample. In case of an anomaly or if the Athlete refuses to provide an additional Sample, the DCO is responsible for ensuring that any matters in this case are assessed to determine if a possible failure to comply has occurred. The DCO is responsible for ensuring that all relevant information, including information from the immediate surroundings when applicable, is obtained as soon as possible or when practicable to ensure that all knowledge of the matter can be reported and be presented as possible evidence as well as that appropriate documentation is completed to report any possible failure to comply. Sample Collection Personnel are responsible for reporting to the DCO any matter with the potential to compromise a test, and the DCO is responsible for reporting such matters to the Chairperson of the UIPM Medical Committee. The Athlete shall be notified of the possible consequence and that a possible Failure to Comply will be investigated by the chairperson of the UIPM Doping Review Panel and appropriate follow-up action will be taken. If possible, the Athlete's Sample Collection Session shall be completed. The chairperson of the UIPM Doping Review Panel will



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ensure that the outcomes of his/her investigation are considered for results management action and, if applicable, for further planning and testing.

- 8.1.10 In conducting the Sample Collection Session the following information shall be recorded as a minimum: Date, time and type of notification (No advance notice, advance notice, in-Competition or Out-of-Competition); arrival time at DCS; date and time of Sample provision; the name, date of birth, gender of the Athlete; the Athlete's home address and telephone number; the Athlete's sport and discipline; the name of the Athlete's coach and doctor; the Sample code number; the type of the Sample (urine, blood, etc) and the type of test (In-Competition or Out-of-Competition); the name and signature of the Chaperone who witnessed the urine Sample provision; the name and signature of the Blood Collection Official who collected the blood Sample, where applicable and as specified below; required laboratory information on the Sample; Partial Sample information; medications and supplements taken within the previous seven days and (where the Sample collected is a blood Sample) blood transfusions within the previous three months, as declared by the Athlete; Athlete consent for the processing of Sample collection data; Athlete consent or otherwise for the use of the Sample(s) for research purposes; Athlete comments or concerns regarding the conduct of the session, if provided; the name and signature of the Athlete; the name and signature of the Athlete's representative, if required; the name and signature of the DCO; the name of the Testing Authority; the name of the Sample Collection Authority; and the name of the Results Management Authority.
- 8.1.11 The Athlete, his/her representative, the DCO, the representative of a Minor, if applicable, and other persons with a formal role present as witnesses, if they wish to do so, will sign the record thus confirming that the Sample collection session has been conducted correctly and all details, including any concerns by the Athlete are reflected. 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. 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. The copies of the record will be placed in separate envelopes that must be closed and sealed and one copy must be given to the Athlete.
- 8.1.12 The envelope(s) containing the original of the record will be handed over to the UIPM Events Director as soon as practicable after the completion of the Sample collection session. The envelope with the copy will be delivered to the WADA accredited Doping Control Laboratory or as otherwise approved by WADA.
- 8.1.13 A messenger forwards the containers to the WADA-accredited Doping Control Laboratory for analysis as soon as possible after 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. Documentation identifying the Athlete shall not be included with the Samples or documentation sent to the laboratory. The receipt has to be confirmed in writing by the Laboratory Director or a person appointed by him.
- 8.1.14 Chain of Custody shall be checked by the chairperson of the UIPM Doping Review Panel if receipt of either the Samples with accompanying documentation or Sample collection session documentation is not confirmed at their intended destination or a Sample's integrity or identity may have been compromised during transport. In this instance, the chairperson of the UIPM Doping Review Panel shall consider whether the Sample should be voided.



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de Pentathlon Moderne

8.1.15 Documentation related to a Sample collection session and/or an Anti-Doping Rule violation shall be stored by the UIPM Secretary General for at least 10 years.

8.1.16 Samples collected in tests initiated by the UIPM are owned by the UIPM.

8.2 Blood Controls

8.2.1 Article 8.1 applies accordingly as far as not specified otherwise below. If the Sample is to be used in connection with the Athlete Biological Passport program the APB technical documents apply and the DCO/BCO shall use the Doping Control form that is specific to the Athlete Biological Passport program. If such form is not available, the DCO/BCO shall use a regular Doping Control form, but he/she shall collect and record the following additional information on a supplementary report form that shall be signed by the Athlete and the DCO/BCO:

- i) confirmation that the Athlete did not participate in training or Competition in the last two hours before the Sample was collected;
- ii) information, whether the Athlete trained, competed or resided at an altitude greater than 1000 meters in the previous two weeks. If so, or if in doubt, the name and location of the place(s) where the Athlete has been, as well as the duration of his/her stay there, shall be recorded, along with the estimated altitude there (if known);
- iii) information, whether the Athlete used any form of altitude simulation (such as a hypoxia tent, mask, etc.) in the previous two weeks. If so, as much information as possible on the type of device and the manner in which it was used (frequency, duration, intensity, etc.) shall be recorded; and
- iv) information, whether the Athlete received any blood transfusion(s) during the previous three months. Whether there was any blood loss due to accident, pathology or donation in the previous three months. In either case, if so, the estimated volume.

8.2.2 At the time indicated, the selected Athletes shall proceed to the area where the Sample will be provided. If some problems occur and the Athlete cannot undergo the blood control at the scheduled time, the time of Sampling can be exceptionally delayed until five minutes before his start time.

8.2.3 If the Athlete wants to refuse to permit blood Sampling, the possible consequences of his/her refusal must be explained to him/her by the respective official mentioned under Article 6.2.1 above. If the athlete continues refusing, this fact will be noted in the record and will be signed by the official. The Athlete and the person accompanying him/her are requested to sign as well. The official is responsible to communicate the refusal to the Chairperson of the UIPM Medical Committee.

8.2.4 The DCO shall ensure the Athlete is offered comfortable conditions including being in a relaxed position for at least 10 minutes prior to providing a Sample. 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. Art 8.1.6 above applies accordingly.

8.2.5 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 the athlete's performance and, if required, apply a tourniquet. The Blood Collection Officer shall take the blood sample of vein blood of an



amount which shall be adequate to satisfy the relevant analytical requirements for the Sample analysis to be performed, from a surface forearm vein of the non-dominant arm of the selected Athlete into the final collection container. The tourniquet, if applied, shall be immediately removed after the venepuncture has been made.

- 8.2.6 In case of impossibility to take the blood sample within three attempts, 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.
- 8.2.7 The Blood Collection Officer shall apply a dressing to the puncture site(s) and 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. If the Sample is to be used in connection with the Athlete Biological Passport program, it shall not be collected within two hours of the Athlete training or competing. If the Athlete has trained or competed within two hours of the time that the Athlete is notified of his/her selection for Sample collection, the DCO/BCO/Chaperone shall monitor the Athlete continuously until the two-hour period has elapsed, after which the Sample shall be collected. The nature of the exertion (Competition, training, etc.), as well as its duration and general intensity, shall be recorded by the DCO/BCO in the mission documentation.
- 8.2.8 The Athlete, after having gently mixed the tube 3 times, 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. If the Sample requires further on-site processing, such as centrifugation or separation of serum (for example, in the case of a Sample intended for use in connection with the Athlete Biological Passport program), after the blood flow into the tube ceases, the BCO shall remove the tube from the holder and homogenize the blood in the tube manually by inverting the tube gently at least three times, the Athlete shall remain to observe the Sample until final sealing in secure, tamper-evident kit.
- 8.2.9 In case of more Athletes waiting for the Sampling, the sequence will be conducted in accordance with the expected sampling order. In case of delayed arrival at the Doping Control Station, the Athlete will be shifted to the end of the list.
- 8.2.10 The sealed Sample shall be stored in a manner that protects its integrity, identity and security prior to analysis at the Doping Control Station or dispatch for analysis at the WADA accredited Laboratory or as otherwise approved by WADA. If the Sample is intended for use in connection with an Athlete Biological Passport program, the DCO/BCO shall place it in a storage device that is capable of maintaining blood Samples at a cool temperature for the duration of the period of storage and transport but without allowing whole blood Samples to freeze (such as a refrigerator, an insulated cool box, an isotherm bag, or any other device with such capability). A temperature data logger shall be used to record the temperature of the Sample during storage and transport. In choosing the storage device, the Sample Collection Authority shall take into account the duration of the period of storage and transport, the number of Samples to be stored together, and the prevailing environmental conditions (hot or cold temperatures).
- 8.2.11 If the Sample is intended for use in connection with an Athlete Biological Passport program, it shall be transported rapidly to the laboratory so that analysis can be performed ideally within 12 hours of Sample collection.

Article 9 Doping Control Laboratories

- 9.1 Only Doping Control Laboratories accredited by WADA or otherwise approved by WADA and chosen by UIPM are entitled to analyse Samples taken at UIPM Doping Controls. These laboratories are announced and updated by WADA on a continuous basis. These Laboratories will analyse Doping Control Samples and report results in conformity with the current International Standard for Laboratories (with revisions published by WADA on a continuous basis).
- 9.2 Samples will be collected and analysed to detect Prohibited Substances and Prohibited Methods identified on the current WADA Prohibited List and other substances as may be directed by WADA pursuant to the Monitoring Program described in Article 4.5 of the World Anti-Doping Code, or to assist the UIPM or other *Anti-Doping Organization* in profiling relevant parameters in an Athlete's urine, blood, or other matrix, including DNA profiling or genomic profiling, for anti-doping purposes. No Sample may be used for any purpose other than mentioned before without the Athlete's written consent. Samples used for other purposes than mentioned in this Article shall have the identity code removed such that they cannot be traced back to a particular athlete.
- 9.3 A Sample collected under UIPM authority may be reanalysed for the above purpose at any time exclusively at the direction of the UIPM or WADA. The circumstances and conditions for retesting Samples shall conform to the requirements of the International Standard for Laboratories.

Article 10 Analysis of Samples – Determination of Results

10.1 Urine Samples

- 10.1.1 During the analysis, only the Laboratory Director and his personnel, the UIPM Events Director or the Chairperson of the UIPM Doping Review Panel, members of the UIPM Medical Committee, the UIPM President, the UIPM Secretary General and the DCO, as applicable, shall have access to the Laboratory.
- 10.1.2 Urine Samples are analysed at the minimum level of analysis according to the WADA Technical Document for Sport Specific Analysis. ESAs tests will be conducted on the largest possible number of urine samples and 5% of them also for GHRF.
- 10.1.3 The result of the analysis must be treated confidentially. It shall be communicated in a way regarded as suitable for this purpose only to the UIPM Events Director, the chairperson of the UIPM Doping Review Panel and to the UIPM Secretary General or authorised agent.

10.2 Blood Samples

10.2.1 Analysis

The blood Samples collected and sealed in a security system should be carefully shipped to avoid haemolysis and be transported to a WADA accredited Laboratory recognized by the UIPM Medical Committee. They shall be analysed according to the WADA Technical Document for Sport Specific Analysis. .



10.2.2 Determination of Results with regard to Haemoglobin and Haematocrit

- i) All blood *Samples* shall be homogenized for a minimum period of 15 minutes using an appropriate mixer (e.g. roller mixer) prior to analysis. Each blood *Sample* shall be analyzed twice.

Absolute differences between the results of the two analyses shall be equal or less than the following for the relevant analyses to be accepted:

- 0.1g/dL for HGB analysis;
 - 0.15 absolute difference for % Reti analysis (if first measurement lower or equal to 1.00%);
- and
- 0.25 absolute difference for % Reti analysis (if first measurement higher than 1.00%).

The data from the second injection is used to confirm the first injection data. Therefore, if the absolute differences between the results of the analyses are within the criteria above, then only the first injection data is reported. If absolute differences between the results of the two analyses are greater than those defined above for a specific *Sample*, the analysis shall be started again. The reason for repetition shall be documented, the whole procedure as per the WADA ABP Operating Guidelines.

- ii) The results of the WADA Accredited or WADA Approved Laboratory for the ABP analysis shall be reported promptly in ADAMS.

10.2.3 Consequences of Exceeded Values of Haemoglobin and Haematocrit

- i) The Results Management for an ABP case follows APPENDIX E: Results Management Requirements for the Athlete Biological Passport of the WADA ABP Operating Guidelines.
- ii) Only blood re-controls performed by appropriate measuring instruments approved by the UIPM Medical Committee, and under UIPM supervision, will be accepted. A blood re-control can be performed not earlier than fifteen days after the initial blood control showing exceeded haemoglobin values. A blood re-control must take place at the latest before the next competition, in case the period between the initial blood control showing exceeded haemoglobin or haematocrit values and the next competition exceeds fifteen days.
- iii) The blood re-control, necessary to compete again, can be performed, in addition to the international competitions in which blood controls are conducted and supported by UIPM, during control by appropriate haematological departments designated by the UIPM Medical Committee, upon proposal of the respective athlete or his Federation. The costs for this control will be charged to the athlete's Federation.
- iv) In case of a blood re-control not exceeding the limits, the athlete will be able to resume the competitions.
- v) Athletes whose normal values exceed the limits described above under Article 11.2.3 i) are requested to provide a certificate from a haematological department for the competition season in which they want to be allowed to start. The UIPM Medical Committee has the right to re-control these athletes at each competition where blood controls are scheduled.
- vi) The blood re-controls performed or supervised by the UIPM Medical Committee will be conducted immediately before the normal blood controls.



UIPM

Union Internationale
de Pentathlon Moderne

10.2.4 Determination of Results and Consequences of Exceeded Values

If the blood control shows a value of haemoglobin which exceeds 17 g/dl (+/-1) in males or 16 g/dl (+/-1) in females or haematocrit shows values which exceed 50% (+/-1) in males and 47% (+/-1) in females, the Athlete will not be allowed to start the competition and must undergo a urine control according to Article 7.1 above and falls under the same sanctions in case an Anti-Doping-Rule violation will be detected.

10.2.5 Questions to Resolve

- i) If at any stage, a question or issue arises concerning the testing or interpretation of results, the person responsible for Testing in the Laboratory may consult the DCO or the Chairperson of the UIPM Medical Committee.
- ii) If at any stage, a question or issue arises in relation to the Sample, the Laboratory may conduct any further tests necessary to clarify the fact or issue so raised and such tests may be relied upon by the UIPM when deciding whether a Sample has tested positive for a Prohibited Substance or Method.

Article 11 General Medical Care to Athletes and Therapeutic Use Exemptions

11.1 All UIPM Athletes must have physical evaluations by their medical staff or their National Federation medical doctors. Records should be kept on file on each of the UIPM Member Federations of the Athletes' health and any subsequent injury or illness. A significant lapse in training requires update medical evaluation that would also become part of a medical record on file with the Member Organisation.

11.2 Illnesses are recorded for retrospective evaluation of illness/injury trends. It is recommended that all UIPM Member Federations keep such a record of the injury. When medically indicated, a formal request may be made through the UIPM Headquarters for such records from the Member Federations. Care must be taken to preserve the privacy of the Athletes and their identity, unless permission by the Athlete is obtained in writing. The information must be used to advance the health and safety of the sport and its participants, and will not be used to advantage or disadvantage of any athlete or organisation.

11.3 All UIPM Athletes with a documented medical condition requiring the use of a Prohibited Substance or a Prohibited Method must first obtain through ADAMS a Therapeutic Use Exemption (TUE) by the UIPM Therapeutic Use Committee, which consists of three members of the UIPM Medical Committee, all of them appointed by the Chairperson of the UIPM Medical Committee. Such TUE is needed for participation at any UIPM competition of categories A, B and C. The Chairperson of the UIPM Therapeutic Use Committee is authorised to deal with Retroactive Therapeutic Use Exemption Applications, which are submitted based on a documented medical file after a laboratory has reported an Adverse Analytical Finding, and to report to the UIPM Therapeutic Use Committee. All other TUE applications are dealt with by the UIPM Therapeutic Use Committee as a whole. The Chairperson and the Committee have to consider a request for TUE by applying the current International Standard for Therapeutic Use Exemptions (including revisions that are continuously published by WADA). The International Standard for Therapeutic Use Exemptions and all revisions shall go into effect for the UIPM three months after their publication by WADA. The UIPM will make the current WADA International Standard for Therapeutic Use Exemptions available to each National Federation. Each National Federation must ensure that the current International Standard for Therapeutic Use Exemptions is available to its members and is applied on all non-UIPM Athletes within their jurisdiction. All TUE's granted by UIPM are reported to the respective



Athlete's National Federation and to WADA. TUE's granted by the National Federations for Athletes competing on the national level must be promptly reported to the UIPM and to WADA.

- 11.4 The presence of a Prohibited Substance or its Metabolites or Markers, Use or Attempted Use of a Prohibited Substance or a Prohibited Method, Possession of Prohibited Substances and Methods or Administration of a Prohibited Substance or Prohibited Method consistent with the provisions of an applicable Therapeutic Use Exemption and issued pursuant to the International Standard for Therapeutic Use Exemptions shall not be considered an Anti-Doping Rule violation.
- 11.5 The use of inhaled formoterol, salbutamol, salmeterol, terbutaline shall be declared on WADA ADAMS where reasonable and feasible as soon as the product is used and must as well be declared on the Doping Control form at the time of testing. Failure to declare will be taken into account in the result management process in particular in case of application for a retroactive TUE. Athletes using these substances by inhalation must have a medical file justifying this use and showing a complete medical history, a comprehensive report of the clinical examination with specific focus on the respiratory system, a report of spirometry with the measure of the Forced Expiratory Volume in 1 second (FEV1), and exact name, speciality, address (including telephone, email, fax) of examining physician. If airway obstruction is present, the spirometry will be repeated after inhalation of a short acting Beta2 agonist to demonstrate the reversibility of bronchoconstriction. In the absence of reversible airway obstruction, a bronchial provocation test is required to establish the presence of airway hyper-responsiveness. For all Athletes in the UIPM RTP or those in a national RTP taking part at UIPM events a TUE must be applied for before the use of inhaled beta2 Agonists.
- 11.6 For Glucocorticosteroids used by non-systemic routes, namely inhaled, intra-articular, peri-articular, peri-tendinous, epidural, and intradermal injection, used to treat medical conditions frequently encountered at athletes a Declaration of Use shall be done through WADA ADAMS where reasonable and feasible by the Athlete at the same time as the use starts. This declaration shall mention the diagnosis, the name of the substance, the dose undertaken, the name and the contact details of the physician. In addition, the Athlete must declare the use of the substance in question on the Doping Control form.
- 11.7 Requests of Athletes for a TUE by UIPM must be submitted, except in emergency situations, not later than 21 days before the Athlete's participation at a UIPM event. The decision on granting or denial of a TUE must be taken not later than 7 days before the Athlete's participation at a UIPM event.

Article 12 Doping Controls for Horses

12.1 Selection of Horses

12.1.1 The UIPM President together with the UIPM Technical and Medical Delegates decide whether Horses shall undergo a Testing and, if yes, which Horses. In addition, they may decide to sample Horses for Out-of-Competition Testing.

12.1.2 This selection may take place at the draw of the Horses and at any time during the Riding event. Horses can be tested several times during one event.



12.2 Sampling

12.2.1 Once a Horse has been selected for Sampling, the person responsible for the supervision of the Horse must be informed. From the moment of notification, an authorised assistant must accompany the horse at all times until the Sample is collected. A refusal or wilful obstruction by any person to submit a horse for Sampling or to sign the Sampling form is immediately reported to the Competition Jury. If the Competition Jury decides that there are no grounds for such a refusal or obstruction it must not admit the respective horse for competition and must inform the UIPM Doping Review Panel.

12.2.2 It is the responsibility of the Medical Delegates and other authorised agents and persons, as mentioned above under Article 6.2.1 above, to ensure that the Sampling is conducted correctly.

12.2.3 The presence of a Prohibited Substance in a horse may be demonstrated in Samples taken from its tissues, body fluids (mainly blood) or excreta (mainly urine). Instructions for collecting Samples are contained in the Sampling kits. The Medical Delegates and other authorised agents or persons may authorise the collection of other materials, such as hair samples. Such Samples must be collected in accordance with instructions given by the UIPM Medical Committee.

12.2.4 All Samples awaiting transport to the laboratory must be kept in a locked refrigerator and dispatched to the laboratory as soon as possible.

12.3 Medical Treatment of Horses and Therapeutic Use Exemptions

When treatment of a horse with a Prohibited Substance or the use of alternative treatment or the use of medication not on the list of Prohibited Substances is required, the treating veterinarian must inform the UIPM Medical or Technical Delegate prior to treatment and achieve permission in writing. The Delegate will decide whether the horse is still fit to compete and whether it may have a possible unfair advantage as a result of treatment. If a horse must be treated with a Prohibited Substance prior to arrival at the competition, the UIPM Medical Delegate or Technical Delegate must be consulted as soon as possible upon arrival at the venue. On such occasions, a statement signed by a veterinarian must be submitted, stating the reason for treatment, the substance, the dose, route, and exact time of administration. The Delegate will decide whether the horse is fit to compete and whether it may have a possible unfair advantage as a result of treatment. At UIPM competitions where no such Delegate or other person authorised is present the Pentathlon Director is responsible to ensure the application of this rule.

12.4 Analysis

Analysis of the Sample is performed in a FEI-accredited laboratory and as follows:

12.4.1 On urine if urine has been collected. Urine from one of the two bottles, referred to as Sample A, is analysed. The remaining bottle of urine, referred to as Sample B, is stored unopened to be used in the case that a confirmatory analysis is required.

12.4.2 On blood, collected in the absence of urine, or in combination with a urine sample. Blood from the syringes contained in the Sampling kit, referred to as Sample A, is analysed. The remaining



UIPM

Union Internationale
de Pentathlon Moderne

syringe(s), referred to as Sample B, are stored unopened to be used in the case that a confirmatory analysis is required.

- 12.4.3 Doping Control Samples will be analysed to detect Prohibited Substances and Prohibited Methods identified in the UIPM Anti-Doping Rules and other substances as may be directed by WADA pursuant to the WADA Monitoring Program. No Sample may be used for any purpose other than the detection of substances (or classes of substances) or methods mentions above, or as otherwise identified by WADA pursuant to its Monitoring Program, without the person's responsible for the horse or owner's written consent.
- 12.4.4 If the analysis of the A sample confirms a positive result, the UIPM Secretary General will immediately inform in writing the person responsible for the horse and the owner of the horse. This control analysis is conducted at the same laboratory under the supervision of a Member of the UIPM Medical Committee or authorised person. The owner of the horse is entitled to send a representative to the laboratory to attend the analysis of the B sample.
- 12.4.5 The member of the UIPM Medical Committee or authorised person will forward the result of second examination to the UIPM Secretary General. In case of a second positive result the chairperson of the UIPM Doping Review Panel will initiate the necessary procedures, all expenses that have been incurred due to the examination of the B sample, will be paid by the National Federation concerned.

PART THREE: STANDARDS FOR INTELLIGENCE

Article 13 Gathering, Assessment and Use of Intelligence

- 13.1 The UIPM is committed to obtain, assess and process anti-doping intelligence from all available sources, to be used to help deter and detect doping, by informing the development of an effective, intelligent and proportionate Test Distribution Plan and/or the planning of Target Testing, and/or by forming the basis of an investigation into a possible Anti-Doping Rule violation(s).
- 13.2 The UIPM Medical Committee in cooperation with the UIPM Doping Review Panel are responsible to capture or receive anti-doping intelligence from all available sources, including Athletes and Athlete Support Personnel and members of the public, Sample Collection Personnel, laboratories, pharmaceutical companies, National Federations, law enforcement, other regulatory and disciplinary bodies, and the media.
- 13.3 The UIPM Medical Committee in cooperation with the UIPM Doping Review Panel coordinates policies and procedures to ensure that anti-doping intelligence captured or received is handled securely and confidentially, that sources of intelligence are protected, that the risk of leaks or inadvertent disclosure is properly addressed, and that intelligence shared with them by law enforcement, other relevant authorities and/or other third parties, is processed, used and disclosed only for legitimate anti-doping purposes. They are responsible to assess all anti-doping intelligence upon receipt for relevance, reliability and accuracy, taking into account the nature of the source and the circumstances in which the intelligence has been captured or received.
- 13.4 The UIPM Medical Committee in cooperation with the Doping Review Panel will collate and analyse all anti-doping intelligence captured or received by the UIPM in order to establish patterns, trends and relationships that may assist the UIPM in developing an effective anti-



UIPM

Union Internationale
de Pentathlon Moderne

doping strategy and/or in determining (where the intelligence relates to a particular case) whether there is reasonable cause to suspect that an Anti-Doping Rule violation may have been committed, such that further investigation is warranted in accordance with Section 12.0 of the ISTI.

- 13.5 Anti-doping intelligence shall be used to assist in developing, reviewing and revising the UIPM Test Distribution Plan and/or in determining when to conduct Target Testing and/or to create targeted intelligence files. The intelligence, where appropriate and subject to applicable law is shared with other *Anti-Doping Organizations* and/or law enforcement and/or other relevant regulatory or disciplinary authorities.

Article 14 Investigations

14.1 Investigating Atypical Findings and Adverse Passport Findings

The chairperson of the UIPM Doping Review Panel in cooperation with the UIPM Medical Committee and the other members of the UIPM Doping Review Panel will investigate confidentially and effectively Atypical Findings and Adverse Passport Findings arising out of Testing conducted on UIPM's behalf and/or for which UIPM is the Results Management Authority. UIPM will provide WADA upon request with further information regarding the circumstances of Adverse Analytical Findings, Atypical Findings, and other potential Anti-Doping Rule violations, such as (without limitation):

- i) the Competition level of the Athlete in question;
- ii) what Whereabouts information (if any) the Athlete in question provides, and whether that information was used to locate him/her for the Sample collection that led to the Adverse Analytical Finding or the Atypical Finding;
- iii) the timing of the Sample collection in question relative to the Athlete's training and Competition schedules; and
- iv) other such profile information as determined by WADA.

- 14.2 The chairperson of the UIPM Doping Review Panel in cooperation with the UIPM Medical Committee and the other members of the UIPM Doping Review Panel will investigate confidentially and effectively any other analytical or non-analytical information or intelligence that indicates there is reasonable cause to suspect that an Anti-Doping Rule violation may have been committed. When there is reasonable cause to suspect that an Anti-Doping Rule violation may have been committed, the UIPM Secretary General will notify WADA that it is starting an investigation and will thereafter keep WADA updated on the status and findings of the investigation upon request.

- 14.3 The UIPM will gather and record all relevant information and documentation as soon as possible, in order to develop that information and documentation into admissible and reliable evidence in relation to the possible Anti-Doping Rule violation, and/or to identify further lines of enquiry that may lead to the discovery of such evidence. The chairperson of the UIPM Doping Review Panel in cooperation with the UIPM Medical Committee and the other members of the UIPM Doping Review Panel will conduct investigations fairly, objectively and impartially at all times. The conduct of investigations, the evaluation of information and evidence identified in the course of that investigation, and the outcome of the investigation, will be fully documented. They will make use of all investigative resources reasonably available to it to conduct the investigation. This may include obtaining information and assistance from



UIPM

Union Internationale
de Pentathlon Moderne

law enforcement and other relevant authorities, including other regulators, but will embrace the use of all investigative resources at UIPM's own disposal, including the Athlete Biological Passport program, investigative powers conferred (e.g., the power to demand the production of relevant documents and information, and the power to interview both potential witnesses and the Athlete or other Person who is the subject of the investigation), and the power to suspend a period of Ineligibility imposed on an Athlete or other Person in return for the provision of Substantial Assistance in accordance with UIPM Anti-Doping Rules Article 10.6.1. Athletes and Athlete Support Personnel are obliged to cooperate with investigations.

- 14.4 The chairperson of the UIPM Doping Review Panel in cooperation with the UIPM Medical Committee and the other members of the UIPM Doping Review Panel shall come to a decision efficiently and without undue delay as to whether proceedings should be brought against the Athlete or other Person asserting commission of an Anti-Doping Rule violation. Where they conclude based on the results of their investigation that proceedings should be brought against the Athlete or other Person asserting commission of an Anti-Doping Rule violation, all respective procedural steps shall be initiated. Where they conclude that proceedings shall not be brought against the Athlete or other Person asserting commission of an Anti-Doping Rule violation, the UIPM Secretary General will notify WADA and the Athlete's or other Person's National Federation and National Anti-Doping Organization in writing of that decision, with reasons, and will provide such other information about the investigation as is reasonably required by WADA and/or National Anti-Doping Organization in order to determine whether to appeal against that decision. In any event, they shall consider whether any of the intelligence obtained and/or lessons learned during the investigation should be used to for the development of the UIPM Test Distribution Plan and/or to plan Target Testing, and/or should be shared with any other body concerned.

PART FOUR: RESULTS MANAGEMENT

Article 15 Composition and Responsibilities of the UIPM Doping Review Panel

- 15.1 The UIPM Doping Review Panel is appointed by the UIPM Executive Board for its election period at its first meeting after an Electoral Congress.
- 15.2 The UIPM Doping Review Panel or their chairperson is responsible for imposing sanctions and provisional suspensions according to the UIPM Anti-Doping Rules and these Procedures.

Article 16 Procedures

- 16.1 The procedure in all matters except Anti-Doping Rule violations is taking place in camera and can be organized by phone or video conference. It must be conducted in a fair manner concerning the parties involved, offering them a possibility to express their arguments and opinion in writing. All means of evidence can be considered. This procedure also applies in cases of Anti-Doping Rule violations falling under Article 7.10 UIPM Anti-Doping Rules.
- 16.2 The procedure in all other cases of Anti-Doping Rule violations shall be as follows:
- 16.2.1 The person concerned and the person's National Federation have to be granted a timely, fair and impartial legal hearing. The Athlete or other person concerned has the right to be represented by counsel at their own expense. They have the right to be informed in a fair and



timely manner of the asserted Anti-Doping Rule violation and to respond to the asserted Anti-Doping Rule violation and resulting consequences. They have the right to present evidence, including the right to call witnesses and experts. It is up to the UIPM Doping Review Panel to accept testimony by telephone or written submission. The Athlete and other person concerned have the right to an interpreter at the hearing, with the UIPM Doping Review Panel to determine the identity and responsibility for the cost of the interpreter. The Panel shall not be restricted in the admission or evaluation of evidence.

16.2.2 The decision with its reasons, specifically including an explanation of the reason(s) for any ban period, must be delivered in writing to the person concerned within 14 days of when it was passed.

16.2.3 The costs that accrue from the procedure are borne in case of a conviction by the person concerned or alternatively by his/her National Federation.

16.2.4 Hearings held in connection with competitions may be conducted by an expedited process depending on the circumstances of the case. In the cases of Articles 7.9.1 - 7.9.3 UIPM Anti-Doping Rules a hearing may be provisional and/or expedited. In all these cases Article 17.2.1 above shall be applied as far as reasonable and feasible.

16.2.5 The right to a hearing may be waived by the Athlete or other person.

16.3 Appeal to UIPM Court of Arbitration

16.3.1 Decisions of the UIPM Doping Review Panel are subject to appeal. The appellant must lodge his/her appeal with the UIPM Court of Arbitration in writing by registered letter to the UIPM Secretary General within twenty-one days after the receipt of the respective decision. Within fifteen days from notice of the decision, such party shall have the right to request from the UIPM Doping Review Panel having issued the decision a copy of the documentation on which the Panel relied. If such a request is made within the fifteen-day period, then the party making such request shall have twenty-one days from receipt of the documentation to file an appeal to the UIPM Court of Arbitration. All appeals must set out briefly their nature and the facts relating thereto and must include the appointment of an arbitrator. The UIPM Secretary General must inform the UIPM Doping Review Panel on the appeal without any delay.

16.3.2 The chairperson of the UIPM Doping Review Panel must advise of its appointment of an arbitrator within ten days after the receipt of the information on an appeal by the UIPM Secretary General.

16.3.3 In their decisions, the arbitrators are bound by the UIPM Anti-Doping Rules and UIPM Anti-Doping Procedures and all other UIPM Rules as well as all provisions of substantive law of the Principality of Monaco. To the extent not provided otherwise by the Constitution and Rules of the UIPM, the general Monegasque rules of civil procedure apply to the arbitration proceedings.

16.3.4 In case of necessity the President of the UIPM Court of Arbitration is authorised to decide upon provisional or conservatory measures.

16.3.5 The UIPM Court of Arbitration makes its decision after an oral hearing within three months of its constitution. If the parties agree, the UIPM Court of Arbitration can waive the hearing.

- 16.3.6 In the hearing, the circumstances of the dispute shall be determined following representations by the appellant or his/her representative, a representative of the UIPM Doping Review Panel, any witnesses and any experts nominated by the UIPM Court of Arbitration.
- 16.3.7 The admission of other evidence does not require motions by parties.
- 16.3.8 The appellant or his/her representative and the representative of the UIPM Doping Review Panel may be present during the examination of witnesses and comment on their testimony.
- 16.3.9 The non-appearance of a party does not hinder the carrying out of the procedure.
- 16.3.10 The appellant may avail him/herself of the assistance of a legal advisor and an interpreter at any stage of the proceedings.
- 16.3.11 Appeals have no suspensive effect.
- 16.3.12 The UIPM Court of Arbitration's decisions with reasons in writing are to be transmitted to the parties by registered mail within 14 days of their issue.
- 16.3.13 The UIPM Court of Arbitration also rules on the costs of the proceedings. These can be split among the appellant and the UIPM or imposed on one party only. Upon filing of the appeal, the appellant shall pay a fee of USD 300, without which the UIPM Court of Arbitration shall not proceed. The appellant shall advance the costs for one arbitrator, half of the costs of the president and the costs for its own witnesses, experts and interpreters.
- 16.3.14 There is appeal against decision of the UIPM Court of Arbitration to the Court of Arbitration for Sports (CAS), Lausanne. Article 13 UIPM Anti-Doping Rules applies.