



Technical Procedures for  
Doping Control for the  
Rio 2016 Olympic and  
Paralympic Games

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# 1 | INTRODUCTION

1.0 The International Olympic Committee's (IOC) and International Paralympic Committee's (IPC) Anti-Doping Programmes for the Rio 2016 Games comply with the World Anti-Doping Code and the mandatory international standards that comprise the World Anti-Doping Programme.

1.1. The IOC and IPC delegates to the Rio 2016 Organising Committee for the Olympic and Paralympic Games (Rio 2016) the implementation, under the IOC and IPC's authority, of the following sections of the World Anti-Doping Agency's mandatory International Standard for Testing and Investigations (ISTI):

- Notification of Athletes
- Preparing for Sample Collection Session
- Conducting the Sample Collection Session
- Security/Post Test Administration
- Transport of Samples and Documentation
- Ownership of Samples
- Annex A -Investigating a Possible Failure to Comply
- Annex B -Modifications for Athletes with an Impairment
- Annex C -Modifications for Athletes who are Minors
- Annex D -Collection of Urine Samples
- Annex E -Collection of Blood Samples
- Annex F -Urine Samples - Insufficient Volume
- Annex G -Urine Samples that do Not Meet the Requirement for Suitable Specific Gravity for Analysis
- Annex H -Sample Collection Personnel Requirements

1.2 These technical procedures for doping control outline Rio 2016 implementation of the aforementioned areas of the ISTI.

1.3 Rio 2016 shall carry out doping control in accordance with these procedures on behalf of the IOC and IPC.

1.4 In implementing these technical procedures, Rio 2016 complies with the WADA International Standard for the Protection of Privacy and Personal Information.

1.5 As part of the IOC and IPC Anti-Doping Programmes, the purpose of these technical procedures for doping control is to plan for effective testing and to maintain the integrity and identity of the samples collected, from the point the athlete is notified of the test to the point the samples are transported to the laboratory for analysis.

## 2 | DEFINITIONS

2.0 Unless defined in the IOC Anti-Doping Rules or in the IPC Anti-Doping Code, the definitions of the World Anti-Doping Code and the International Standards apply, *mutatis mutandis*, to the terms throughout these technical procedures for doping control.

## 3 | NOTIFICATION OF ATHLETES

### Objective

3.0 To ensure that an athlete who has been selected for testing is properly notified of sample collection, that the rights of the athlete are upheld and there are no opportunities to manipulate the sample to be provided and that the notification is documented.

### General

3.1 Notification starts when Rio 2016 initiates the notification of the selected athlete and ends when the athlete arrives at the doping control station or when the athlete's possible failure to comply is brought to the attention of the IOC or IPC.

3.2 The main activities are:

- Appointing doping control officers (DCOs), chaperones and other sample collection personnel
- Locating the athlete and confirming their identity
- Informing the athlete that they have been selected to provide a sample and of their rights and responsibilities
- For no advance notice sample collection, continuously chaperoning the athlete from the time of notification to the arrival at the designated doping control station
- Documenting the notification, or notification attempts

### Requirements Prior to Notification of Athletes

3.3 Save in exceptional and justifiable circumstances, no advance notice testing shall be the notification method for sample collection.

3.4 Rio 2016 shall appoint and authorise sample collection personnel to conduct or assist with Sample Collection Sessions who have been trained for their assigned responsibilities, who do not have a conflict of interest in the outcome of the sample collection, and who are not minors.

3.5 DCOs/chaperones shall have official identification that is provided and controlled by Rio 2016. The minimum identification requirement is an official card/document naming Rio 2016 and the IOC/IPC. For DCOs, additional identification requirements shall include their name, photograph and the card's/document's expiry date. For blood collection officers, additional identification requirements include evidence of their professional training in the collection of blood samples.

3.6 Rio 2016 has established criteria to validate the identity of an athlete selected to provide a sample. This ensures the selected athlete is the athlete who has been notified. Identification will typically be done through the athlete's Games-time accreditation or their valid passport. The method of identification shall be documented on the doping control documentation.

3.7 Rio 2016 or the DCO/chaperone, as applicable, shall establish the location of the selected athlete and plan the approach and timing of notification, respectfully taking into consideration the specific circumstances of the sport/competition/training session and the situation in question.

3.8 Rio 2016 shall ensure that reasonable attempts are made to notify athletes of their selection for sample collection. Rio 2016 shall record in detail athlete notification attempt(s) and outcome(s). In locating athletes using athlete whereabouts information, Rio 2016 will ensure its DCOs adhere to the requirements in Annex I.4.1 b) and c) of the International Standard for Testing and Investigations.

3.9 The athlete shall be the first person notified that they have been selected for sample collection, except where prior contact with a third party is required as specified in Procedure 3.10.

3.10 Rio 2016 or the DCO/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 (as provided for in Annex C - Modifications for Athletes who are Minors), or where required by an athlete's impairment (as provided for in Annex B - Modifications for Athletes with an Impairment), or in situations where an interpreter is required and available for the notification.

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

3.11 When initial contact is made, Rio 2016 or the DCO or chaperone, as applicable, shall ensure that the athlete and/or a third party (if required in accordance with Procedure 3.10) is informed:

- That the athlete is required to undergo a sample collection
- That the sample collection is being conducted under the authority of the IOC or IPC
- The type of sample collection and any conditions that need to be adhered to prior to the sample collection

- Of the athlete's rights, including the right to:
  - Have a representative and, if available, an interpreter
  - Ask for additional information about the sample collection process
  - Request a delay in reporting to the doping control station for valid reasons
  - Request modifications as provided for in Annex B: Modifications for Athletes with an Impairment
- Of the athlete's responsibilities, including the requirement to:
  - 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
  - Produce identification
  - Comply with sample collection procedures. The athlete should be advised of the possible consequences of failure to comply.
  - Report immediately for sample collection, unless there are valid reasons for a delay, as determined in accordance with Procedure 3.14
- Of the location of the doping control station
- That should the athlete choose to consume food or fluids prior to providing a sample, they do so at their own risk
- Not to hydrate excessively, since this may delay the production of a suitable sample
- 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. they should not pass urine in the shower or otherwise prior to providing a sample

3.12 When contact is made, the DCO/chaperone shall:

- From the time of such contact until the athlete leaves the doping control station at the end of their Sample Collection Session, keep the athlete under observation at all times
- Identify themselves to the athlete using their official Rio 2016 identification card/document
- Confirm the athlete's identity. Confirmation of the athlete's identity by any other method, or failure to confirm the identity of the athlete, shall be documented and reported to the testing authority. In cases where the athlete's identity cannot be confirmed, the DCO shall decide whether it is appropriate to follow up in accordance with Annex A - Investigating a Possible Failure to Comply.

3.13 The chaperone/DCO shall have the athlete sign an appropriate form to acknowledge and accept the notification. If the athlete refuses to sign that they have been notified, or evades notification, the DCO/chaperone shall, if possible, inform the athlete of the consequences of refusing or failing to comply, and the chaperone (if not the DCO) shall immediately report all relevant facts to the DCO. When possible, the DCO shall continue to collect a sample. The DCO shall document the facts in a detailed report and report the circumstances to the IOC or IPC. The IOC or IPC shall follow the steps prescribed in Annex A - Investigating a Possible Failure to Comply.

3.14 The DCO/chaperone may at their discretion consider any reasonable third party request or any request by the athlete for permission to delay reporting to the doping control station following acknowledgment and acceptance of notification, and/or to leave the doping control station temporarily after arrival, and may grant such permission if the athlete can be continuously chaperoned and kept under direct observation during the delay. Delayed reporting to/temporary departure from the doping control station may be permitted for the following activities:

For In-Competition Testing:

- Participation in a presentation ceremony
- Fulfilment of media commitments
- Competing in further competitions
- Performing a warm down
- Obtaining necessary medical treatment
- Locating a representative and/or interpreter
- Obtaining photo identification
- Any other reasonable circumstances, as determined by the DCO, taking into account any instructions of the testing authority

For Out-of-Competition Testing:

- Locating a representative and/or interpreter
- Completing a training session
- Receiving necessary medical treatment
- Obtaining photo identification
- Any other reasonable circumstances, as determined by the DCO, taking into account any instructions of the testing authority

3.15 The DCO or other authorised sample collection personnel shall document any reasons for delay in reporting to the doping control station and/or reasons for leaving the doping control station that may require further investigation by the testing authority. Any failure by the athlete to remain under constant observation should also be recorded.

3.16 A DCO/chaperone shall reject a request for delay from an athlete if it will not be possible for the athlete to be continuously observed during such delay.

3.17 If the athlete delays reporting to the doping control station other than in accordance with Procedure 3.14 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 athlete's delay in reporting to the doping control station.

3.18 If sample collection personnel observe any matter which could potentially compromise the collection of the sample, the circumstances shall be reported to and documented by the DCO. If deemed appropriate by the DCO, the DCO shall follow the requirements of Annex A - Investigating a Possible Failure to Comply, and/or consider if it is appropriate to collect an additional sample from the athlete.

## 4 | PREPARING FOR THE SAMPLE COLLECTION SESSION

### Objective

4.0 To prepare for the sample collection session in a manner that ensures the session can be conducted efficiently and effectively.

### General

4.1 Preparation for the sample collection session starts with the establishment of a system for obtaining relevant information for effective conduct of the session and ends when it is confirmed that the sample collection equipment conforms to the specified criteria.

### 4.2 The main activities are:

- Establishing a system for collecting details regarding the Sample Collection Session
- Establishing criteria for who may be present during a Sample Collection Session
- Ensuring the doping control station meets the minimum criteria prescribed in Procedure 4.4
- Ensuring the sample collection equipment used by Rio 2016 meets the minimum criteria prescribed in Procedure 4.7

## Requirements for preparation for the sample collection session

4.3 Rio 2016 shall obtain all information necessary to ensure the Sample Collection Session can be conducted effectively and efficiently, including special requirements to meet the needs of athletes with an impairment as provided in Annex B, as well as the needs of athletes who are minors as provided in Annex C.

4.4 The DCO shall use a doping control station which, at a minimum, ensures the athlete's privacy and where possible is used solely as a doping control station for the duration of the Sample Collection Session. The DCO shall record any significant deviations from these criteria.

4.5 Doping control stations will be located at all competition venues and the athletes' village. The doping control station manager is responsible for managing operations and the workforce within the doping control station.

4.6 These procedures establish minimum criteria for who may be present during the Sample Collection Session in addition to the sample collection personnel and members of the Rio 2016 Anti-Doping Functional Area, including:

- An athlete's entitlement to be accompanied by a representative and/or interpreter during the Sample Collection Session, except when the athlete is passing a urine sample
- A minor's entitlement (as provided for in Annex C - Modifications for Athletes who are Minors), and the witnessing DCO/chaperone's entitlement to have a representative observe the witnessing DCO/chaperone when the minor is passing a urine sample, but without the representative directly observing the passing of the sample unless requested to do so by the minor
- An athlete with an impairment's entitlement to be accompanied by a representative as provided for in Annex B: Modifications for Athletes with an Impairment
- IOC/IPC representative
- The relevant International Federation representative
- A WADA independent observer where applicable under the Independent Observer Programme. The WADA independent observer shall not directly observe the passing of a urine sample.

4.7 The DCO shall only use sample collection equipment systems that are authorised by Rio 2016, which at a minimum, shall:

- Have a unique numbering system incorporated into all bottles, containers, tubes or any other item used to seal the sample
- Have a sealing system that is tamper evident

- Ensure the identity of the athlete is not evident from the equipment
- Ensure that all equipment is clean and sealed prior to use by the athlete

4.8 Rio 2016 will use Berlinger equipment.

4.9 Photographs, videos or tape recordings may only be taken inside the doping control station with the permission of the doping control station manager and only when the doping control station is not in operation. No photographs, videos or tape recordings may be taken once the doping control station is in operation. Mobile phones may be used as phones but not cameras. All mobile phones must be turned off during the processing of the Sample.

## 5 | CONDUCTING THE SAMPLE COLLECTION SESSION

### Objective

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

### General

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

- Preparing for collecting the sample
- Collecting and securing the sample
- Documenting the sample collection

### Requirements Prior to Sample Collection

5.2 Rio 2016 shall be responsible for the overall conduct of the Sample Collection Session, with specific responsibilities delegated to the DCO.

5.3 The DCO shall ensure that the athlete has been informed of their rights and responsibilities as specified in Procedure 3.11.

5.4 The DCO shall provide the athlete with the opportunity to hydrate. The athlete should avoid excessive hydration, bearing in mind the requirement to provide a sample with a suitable specific gravity for analysis.

5.5 The athlete shall only leave the doping control station under continuous observation by the DCO/chaperone and with the approval of the DCO. The DCO shall consider any reasonable request, as specified in Procedures 3.14, 3.15 and 3.16, by the athlete to leave the doping control station, until the athlete is able to provide a sample.

5.6 If the DCO gives approval for the athlete to leave the doping control station, the DCO shall agree with the athlete on the following conditions:

- The purpose of the athlete leaving the doping control station
- The time of return (or return upon completion of an agreed activity)
- The athlete must remain under continuous observation
- The athlete shall not pass urine until they return to the doping control station
- The DCO shall document the time of the athlete's departure and return

#### **Requirements for Sample Collection**

5.7 The DCO shall collect the sample from the athlete according to the following protocol(s) for the specific type of sample collection:

- Annex D: Collection of Urine Samples
- Annex E: Collection of Blood Samples

5.8 Any behaviour by the athlete and/or persons associated with the athlete or anomalies with potential to compromise the sample collection shall be recorded by the DCO. If appropriate, Rio 2016 and/or the DCO shall institute Annex A: Investigating a Possible Failure to Comply.

5.9 If there are doubts as to the origin or authenticity of the sample, the athlete shall be asked to provide an additional sample. If the athlete refuses, the DCO shall document in detail the circumstances around the refusal, and Rio 2016 shall apply Annex A: Investigating a Possible Failure to Comply.

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

5.11 In conducting the Sample Collection Session, the following minimum information shall be recorded:

- Date, time and type of notification (no advance notice, advance notice)
- Arrival time at doping control station
- Date and time of completion of sample collection process (i.e. the time when the athlete signs the declaration at the bottom of the Doping Control form)
- Name of the athlete
- Date of birth of the athlete

- Gender of the athlete
- The athlete's accreditation number, which, when linked to the Rio 2016 database, can provide 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
- Type of sample (urine, blood, etc.)
- Type of test (In-Competition or Out-of-Competition)
- Name and signature of the witnessing DCO/chaperone
- Name and signature of the blood collection officer (where applicable)
- Partial sample information, as per Annex F.7
- Required laboratory information on the sample (i.e., for a urine sample, its volume and specific gravity)
- 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
- Any irregularities in procedures
- Athlete comments or concerns regarding the conduct of the Sample Collection Session, 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
- Name and signature of the athlete
- Name and signature of the athlete's representative, if applicable
- Name and signature of the DCO
- Name of the testing authority
- Name of the sample collection authority
- Name of the results management authority

5.12 At the conclusion of the Sample Collection Session the athlete and DCO shall sign appropriate documentation to indicate their satisfaction that the documentation accurately reflects the details of the athlete's Sample Collection Session, including any concerns recorded by the athlete. The athlete's representative (if applicable) and the athlete shall both sign the documentation if the athlete is a minor.

5.13 The DCO shall provide the athlete with a copy of the records of the Sample Collection Session that has been signed by the athlete.

## 6 | SECURITY/POST TEST ADMINISTRATION

### Objective

6.0 To ensure all samples collected at the doping control station and sample collection documentation are securely stored prior to their dispatch from the doping control station.

### General

6.1 Post-test administration begins when the athlete has left the doping control station after providing their sample(s) and ends with preparation of all collected samples and sample collection documentation for transport.

### Requirements for Security/Post Test Administration

6.2 Rio 2016 has established criteria to ensure that each sample will be stored in a manner that protects its integrity, identity and security prior to transport from the doping control station. The DCO shall ensure that each sample is stored in accordance with these criteria, which guarantee samples are placed in a refrigerator in a lockable room within the doping control station prior to transport.

6.3 The DCO shall ensure documentation for each sample is completed and securely handled.

6.4 Rio 2016 shall ensure that, where required, instructions for the type of analysis to be conducted are provided to the WADA-accredited laboratory.

## 7 | TRANSPORT OF SAMPLES AND DOCUMENTATION

### Objective

7.0 To ensure samples and related documentation arrive at the WADA-accredited laboratory that will be conducting the analysis in proper condition to complete the necessary analysis.

7.1 To ensure the Sample Collection Session documentation is sent by the DCO to the IOC or IPC in a secure and timely manner.

## General

7.2 Transport starts when the samples and related documentation leave the doping control station and ends with the confirmed receipt of the samples and Sample Collection Session documentation at their intended destinations.

7.3 The main activities are arranging for the secure transport of samples and related documentation to the WADA-accredited laboratory, and arranging for the secure transport of Sample Collection Session documentation to the IOC or IPC.

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

7.4 Rio 2016 has authorised a system that ensures samples and documentation will be transported in a manner that protects their integrity, identity and security.

7.5 Samples shall always be transported to the WADA-accredited laboratory using a Rio 2016 authorised transport method as soon as practicable after the completion of the Sample Collection Session. Samples shall be transported in a manner which minimises the potential for degradation due to factors such as time delays and extreme temperature variations.

7.6 Documentation identifying the athlete shall not be included with the samples or documentation sent to the WADA-accredited laboratory.

7.7 The DCO shall send all relevant Sample Collection Session documentation to the Doping Control Functional Coordination Centre using a Rio 2016 authorised transport method as soon as practicable after the completion of the Sample Collection Session.

7.8 If the samples with accompanying documentation or the Sample Collection Session documentation are not received at their respective intended destinations, or if a sample's integrity or identity may have been compromised during transport, Rio 2016 shall check the chain of custody, and the IOC or IPC shall consider whether the samples should be voided. The opening of the transport bag by customs, border authorities or Rio 2016 security staff will not, in itself, invalidate laboratory results.

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

## 8 | OWNERSHIP OF SAMPLES

8.0 The IOC or IPC owns the samples collected at the Olympic and Paralympic Games.

# ANNEX A: INVESTIGATING A POSSIBLE FAILURE TO COMPLY

## Objective

A.1 To ensure any matters occurring before, during or after a Sample Collection Session that may lead to a determination of a failure to comply are properly assessed, documented and acted upon.

## Scope

A.2 Investigating a possible failure to comply begins when the IOC, the IPC, Rio 2016 or a DCO becomes aware of a possible failure to comply and ends when the IOC or IPC takes appropriate follow-up action based on the outcome of its investigation.

## Responsibility

A.3 The IOC or IPC is responsible for ensuring that:

- When the possible failure to comply comes to its attention, it notifies WADA and instigates an investigation of the possible failure based on all relevant information and documentation
- The athlete or other party is informed of the possible failure in writing and has the opportunity to respond
- The investigation is conducted without unnecessary delay and the evaluation process is documented
- The final determination (i.e. whether or not to assert the commission of an anti-doping rule violation), with reasons, is made available without delay to WADA and other anti-doping organisations in accordance with the World Anti-Doping Code Articles 7.10 and 14.1.4.

A.4 The DCO is responsible for:

- Informing the athlete or other party of the consequences of a possible failure to comply
- Completing the athlete's Sample Collection Session where possible
- Providing a detailed written report of any possible failure to comply

A.5 Sample collection personnel are responsible for:

- Informing the athlete or other party of the consequences of a possible failure to comply
- Reporting to the DCO any possible failure to comply

### Requirements

A.6 Any potential failure to comply shall be reported by the DCO and/or followed up by the IOC or IPC as soon as practical.

A.7 If the IOC or IPC determines that there has been a potential failure to comply, the athlete or other person shall be notified in writing:

- Of the possible consequences
- That the potential failure will be investigated by the IOC or IPC and appropriate follow-up action will be taken

A.8 Any additional necessary information about the possible failure to comply shall be obtained from all relevant sources, including the athlete or other party, as soon as possible and recorded.

A.9 The IOC or IPC shall establish a system for ensuring the outcomes of its investigation into the potential failure to comply are considered for results management action and, if applicable, for further planning and target testing.

# ANNEX B: MODIFICATIONS FOR ATHLETES WITH AN IMPAIRMENT

## Objective

B.1 To ensure the particular needs of athletes with an impairment are considered in relation to the provision of a sample, where possible, without compromising the integrity of the Sample Collection Session.

## Scope

B.2 Determining whether modifications are necessary starts with identification of situations where sample collection involves athletes with an impairment and ends with modifications to sample collection procedures and equipment where necessary and possible.

## Responsibility

B.3 Rio 2016 is responsible for ensuring, when possible, that the DCO has all information and sample collection equipment necessary to conduct a Sample Collection Session with an athlete with an impairment.

B.4 The DCO has responsibility for sample collection.

## Requirements

B.5 All aspects of notification and sample collection for athletes with an impairment shall be carried out in accordance with the standard notification and sample collection procedures unless modifications are necessary due to the athlete's impairment.

B.6 In planning or arranging sample collection, Rio 2016 and the DCO shall consider whether there will be any sample collection for athletes with an impairment that may require modifications to the standard procedures for notification or sample collection, including sample collection equipment and facilities.

B.7 Rio 2016 and the DCO shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security or integrity of the sample. All such modifications must be documented.

B.8 An athlete with an intellectual, physical or sensory impairment may be assisted by their representative or sample collection personnel during the Sample Collection Session, where authorised by the athlete and agreed to by the DCO.

B.9 The DCO may decide that alternative sample collection equipment or facilities will be used when required to enable the athlete to provide the sample as long as the sample's identity, security and integrity will not be affected.

B.10 Athletes who are using urine collection or drainage systems are required to eliminate existing urine from such systems before providing a urine sample for analysis. Where possible, the existing urine collection or drainage system should be replaced with a new, unused catheter or drainage system prior to collection of the sample. The catheter or drainage system is not a required part of sample collection equipment to be provided by Rio 2016; it is the responsibility of the athlete to have the necessary equipment available for this purpose.

B.11 The DCO will record modifications made to the standard sample collection procedures for athletes with an impairment, including any applicable modifications specified in the above actions.

# ANNEX C: MODIFICATIONS FOR ATHLETES WHO ARE MINORS

## Objective

C.1 To ensure the particular needs of athletes who are minors are considered in relation to the provision of a sample, where possible, without compromising the integrity of the Sample Collection Session.

## Scope

C.2 Determining whether modifications are necessary starts with identification of situations where sample collection involves athletes who are minors and ends with modifications to sample collection procedures where necessary and possible.

## Responsibility

C.3 Rio 2016 is responsible for ensuring, when possible, that the DCO has all information necessary to conduct a Sample Collection Session with an athlete who is a minor. 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.

## Requirements

C.4 All aspects of notification and sample collection for athletes who are minors shall be carried out in accordance with the standard notification and sample collection procedures unless modifications are necessary due to the athlete being a minor.

C.5 In planning or arranging sample collection, the IOC, IPC, Rio 2016 and DCO shall consider whether there will be any sample collection for athletes who are minors that may require modifications to the standard procedures for notification or sample collection.

C.6 The DCO and Rio 2016 shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security or integrity of the sample.

C.7 Athletes who are minors should be notified in the presence of an adult, and may choose to be accompanied by a representative throughout the 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 the DCO is observing the sample provision correctly. Even if the minor declines a representative, Rio 2016, the 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.

C.8 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/chaperone's representative, to observe the DCO/chaperone when a minor is passing a urine sample, but without the representative directly observing the passing of the sample unless requested by the minor to do so.

C.9 Should 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.

C.10 The preferred venue for all Out-of-Competition Testing of a minor is a location where the presence of an adult is most likely, for example, a training venue.

C.11 The IOC or IPC and Rio 2016 shall consider the appropriate course of action when no adult is present at the testing of an athlete who is a minor and shall accommodate the athlete in locating a representative in order to proceed with testing.

# ANNEX D: COLLECTION OF URINE SAMPLES

## Objective

D.1 To collect an athlete's urine sample in a manner that ensures:

- Consistency with relevant principles of internationally recognised standard precautions in healthcare settings, so that the health and safety of the athlete and sample collection personnel are not compromised
- The sample meets the suitable specific gravity for analysis and the suitable volume of urine for analysis. Failure of a sample to meet these requirements in no way invalidates the suitability of the sample for analysis. The determination of a sample's suitability for analysis is the decision of the relevant laboratory, in consultation with the IOC or IPC.
- The sample has not been manipulated, substituted, contaminated or otherwise tampered with in any way
- The sample is clearly and accurately identified
- The sample is securely sealed in a tamper-evident kit

## Scope

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

## Responsibility

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

## Requirements

D.4 The DCO shall ensure the athlete is informed of the requirements of the Sample Collection Session, including any modifications as provided for in Annex B: Modifications for Athletes with an Impairment.

D.5 The DCO shall ensure the athlete is offered a choice of appropriate equipment for collecting the sample. If the nature of an athlete's impairment requires them to use additional equipment as provided for in Annex B - Modifications for Athletes with

an Impairment, the DCO shall inspect the equipment to ensure it will not affect the identity or integrity of the sample.

D.6 The DCO shall instruct the athlete to select a collection vessel.

D.7 When the athlete selects a collection vessel, and for selection of all other sample collection equipment that directly holds the urine sample, the DCO will instruct the athlete to check all seals on the selected equipment are intact and the equipment has not been tampered with. If the athlete is not satisfied with the selected equipment, they may select another. If the athlete is not satisfied with any of the equipment available, this shall be recorded by the DCO.

D.8 If the DCO does not agree with the athlete's opinion that all equipment available for the selection is unsatisfactory, the DCO shall instruct the athlete to proceed with the Sample Collection Session. If the DCO agrees with the athlete that all equipment available for the selection is unsatisfactory, the DCO shall terminate the Sample Collection Session and this shall be recorded by the DCO.

D.9 The athlete shall retain control of the collection vessel and any sample provided until the sample (or partial sample) is sealed, unless assistance is required by reason of an athlete's impairment as provided for in Annex B - Modifications for Athletes with an Impairment. Additional assistance may be provided in exceptional circumstances to any athlete by the athlete's representative or sample collection personnel during the Sample Collection Session, where authorised by the athlete and agreed to by the DCO.

D.10 The DCO/chaperone who witnesses the passing of the sample shall be of the same gender as the athlete providing the sample.

D.11 The DCO/chaperone should, where practicable, ensure the athlete thoroughly washes their hands prior to the provision of the sample or wears suitable (for example, latex) gloves during provision of the sample.

D.12 The DCO/chaperone and athlete shall proceed to an area of privacy to collect a sample.

D.13 The DCO/chaperone shall ensure an unobstructed view of the sample leaving the athlete's body and must continue to observe the sample after provision until the sample is securely sealed. To ensure a clear and unobstructed view of the passing of the sample, the DCO/chaperone shall instruct the athlete to remove or adjust any clothing which restricts the DCO/chaperone's clear view of sample provision. The DCO/chaperone shall ensure all urine passed by the athlete at the time of provision of the sample is collected in the collection vessel.

D.14 The DCO shall verify, in full view of the athlete, that a suitable volume of urine for analysis has been provided.

D.15 Where the volume of urine provided by the athlete is insufficient, the DCO shall follow the partial sample collection procedure set out in Annex F - Urine Samples - Insufficient Volume.

D.16 Once the volume of urine provided by the athlete is sufficient, the DCO shall instruct the athlete to select a sample collection kit containing A and B bottles in accordance with Article D.7.

D.17 Once a sample collection kit has been selected, the DCO and the athlete shall check all code numbers match and that this code number is recorded accurately by the DCO on the Doping Control form. 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 Article D.7. The DCO shall record the matter.

D.18 The athlete shall pour the minimum suitable volume of urine for analysis into the B bottle (to a minimum of 30 ml), and then pour the remainder of the urine into the A bottle (to a minimum of 60 ml). The suitable volume of urine for analysis shall be viewed as an absolute minimum. If more than the minimum suitable volume of urine for analysis has been provided, the DCO shall ensure the athlete fills the A bottle to capacity as per the recommendation of the equipment manufacturer. Should there still be urine remaining, the DCO shall ensure the athlete fills the B bottle to capacity as per the recommendation of the equipment manufacturer. The DCO shall instruct the athlete to ensure a small amount of urine is left in the collection vessel, explaining that this is to enable the DCO to test that residual urine in accordance with Article D.20.

D.19 The athlete shall then seal the A and B bottles as directed by the DCO. The DCO shall check, in full view of the athlete, that the bottles have been properly sealed.

D.20 The DCO shall test the residual urine in the collection vessel to determine if the sample has a suitable specific gravity for analysis. If the DCO's field reading indicates that the sample does not have a suitable specific gravity for analysis, then the DCO shall follow Annex G: Urine Samples that do not meet the requirement for Suitable Specific Gravity for Analysis.

D.21 Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with Article D.18 and the residual urine has been tested in accordance with Article D.20.

D.22 The athlete shall be given the option of witnessing the discarding of any residual urine that will not be sent for analysis.

# ANNEX E: COLLECTION OF BLOOD SAMPLES

## Objective

E.1 To collect an athlete's blood sample in a manner that ensures:

- Consistency with relevant principles of internationally recognised standard precautions in healthcare settings, and is collected by a suitably qualified person, so that the health and safety of the athlete and sample collection personnel are not compromised
- The sample is of a quality and quantity that meets the relevant analytical guidelines
- That samples intended for use in connection with the measurement of individual athlete blood variables within the framework of the Athlete Biological Passport programme are collected in a manner appropriate for such use
- The sample has not been manipulated, substituted, contaminated or otherwise tampered with in any way
- The sample is clearly and accurately identified
- The sample is securely sealed

## Scope

E.2 The collection of a blood sample begins with ensuring the athlete is informed of the sample collection requirements and ends with properly storing the sample prior to transport to the laboratory that will be analysing the sample.

## Responsibilities

E.3 The DCO is responsible for ensuring:

- Each sample is properly collected, identified and sealed
- All samples have been properly stored and dispatched in accordance with the relevant analytical guidelines

E.4 The blood collection officer has the responsibility of collecting the blood sample, answering related questions during the provision of the sample and proper disposal of used blood sampling equipment not required for completing the Sample Collection Session.

## Requirements

E.5 Procedures involving blood shall be consistent with local standards and regulatory requirements regarding precautions in healthcare settings where those standards and requirements exceed the requirements set out below.

E.6 Blood sample collection equipment shall consist of:

- A single sample tube for samples to be used in connection with an Athlete Biological Passport programme
- Both an A and B sample tube for samples not to be used in connection with an Athlete Biological Passport programme
- Other equipment as otherwise specified by the relevant laboratory

Collection tubes shall be labelled with a unique sample code number by the DCO/BCO if they are not pre-labelled. The types of equipment to be used and the volume of blood to be collected for particular analyses shall be as set out in WADA's Blood Collection Guidelines.

E.7 The DCO shall ensure the athlete is properly notified of the requirements of the sample collection, including any modifications as provided for in Annex B - Modifications for Athletes with an Impairment. If the sample is to be used in connection with the Athlete Biological Passport programme, the DCO/BCO shall use the Doping Control form that is specific to the Athlete Biological Passport programme. If said form is not available, the DCO/BCO shall use a regular Doping Control form, but they shall collect and record the following additional information on a supplementary report form that shall be signed by the athlete and the DCO/BCO:

- Confirmation that the athlete did not participate in training or competition in the last two hours before the sample was collected (see Article E.9)
- Whether the athlete trained, competed or resided at an altitude greater than 1,000 metres 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 their stay there, shall be recorded, along with the estimated altitude there (if known).
- Whether the athlete used any form of altitude simulation (such as a hypoxic 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.) should be recorded.
- 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.

E.8 The DCO/chaperone and athlete shall proceed to the area where the sample will be provided.

E.9 The DCO/BCO shall ensure the athlete is comfortable and shall instruct the athlete to remain in a normal seated position with their feet on the floor for at least 10 minutes prior to providing a sample. If the sample is to be used in connection with the Athlete Biological Passport programme, 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 the athlete is notified of their 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.

E.10 The DCO shall instruct the athlete to select the sample collection kit(s) required for collecting the sample and to check the selected equipment has not been tampered with and the seals are intact. If the athlete is not satisfied with a selected kit, they may select another. If the athlete is not satisfied with any kits and no others are available, this shall be recorded by the DCO. If the DCO does not agree with the athlete that all available kits are unsatisfactory, the DCO shall instruct the athlete to proceed with the Sample Collection Session. If the DCO agrees with the athlete that all available kits are unsatisfactory, the DCO shall terminate the Sample Collection Session and this shall be recorded by the DCO.

E.11 When a sample collection kit has been selected, the DCO and the athlete shall check all code numbers match and that this code number is recorded accurately by the DCO. If the athlete or DCO finds that the numbers are not the same, the DCO shall instruct the athlete to choose another kit. The DCO shall record the matter.

E.12 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 their performance and, if required, apply a tourniquet. The blood collection officer shall take the blood sample from a superficial vein into the tube. The tourniquet, if applied, shall be immediately removed after the venipuncture has been made.

E.13 The amount of blood removed shall be adequate to satisfy the relevant analytical requirements for the sample analysis to be performed, as set out in WADA's Blood Collection Guidelines.

E.14 If the amount of blood that can be removed from the athlete at the first attempt is insufficient, the BCO shall repeat the procedure up to three times. Should all three attempts fail to produce a sufficient amount of blood, the BCO shall inform the DCO. The DCO shall terminate the Sample Collection Session and record this and the reasons for terminating the collection.

E.15 The blood collection officer shall apply a dressing to the puncture site(s).

E.16 The blood collection officer shall dispose of used blood sampling equipment not required for completing the Sample Collection Session in accordance with the required local standards for handling blood.

E.17 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 programme, after the blood flow into the tube ceases, the BCO shall remove the tube from the holder and homogenise 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.

E.18 The athlete shall seal their sample in the sample collection kit as directed by the DCO. In full view of the athlete, the DCO shall check the sealing is satisfactory. The athlete and BCO/DCO shall sign the Doping Control form.

E.19 If the sample is intended for use in connection with an Athlete Biological Passport programme, 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 similar device. 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).

E.20 The sealed sample shall be stored in a manner that protects its integrity, identity and security prior to transport from the doping control station to the WADA-accredited laboratory.

E.21 Blood samples shall be transported in accordance with Section 7. The transport procedure is the responsibility of the DCO. Blood samples shall be transported in a device that maintains the integrity of samples over time notwithstanding changes in external temperature. The transport device shall be transported by secure means using a method authorised by the testing authority. If the sample is intended for use in connection with an Athlete Biological Passport programme, it shall be transported rapidly to the laboratory so that analysis can be performed ideally within 36 hours of collection.

# ANNEX F: URINE SAMPLES – INSUFFICIENT VOLUME

## Objective

F.1 To ensure that where a suitable volume of urine for analysis is not provided, appropriate procedures are followed.

## Scope

F.2 The procedure begins with informing the athlete that the sample is not a suitable volume of urine for analysis and ends with the provision of a sample of sufficient volume.

## Responsibility

F.3 The DCO has the responsibility of declaring the sample volume insufficient and for collecting the additional sample(s) to obtain a combined sample of sufficient volume.

## Requirements

F.4 If the sample collected is of insufficient volume, the DCO shall inform the athlete that a further sample shall be collected to meet requirements.

F.5 The DCO shall instruct the athlete to select partial sample collection equipment in accordance with Procedure D.7 of Annex D: Collection of Urine Samples.

F.6 The DCO shall then instruct the athlete to open the relevant equipment, pour the insufficient sample into the new container and seal it as directed by the DCO. The DCO shall check, in full view of the athlete, that the container has been properly sealed.

F.7 The DCO and the athlete shall check the equipment code number, volume and identity of the insufficient sample are recorded accurately by the DCO. Either the athlete or the DCO shall retain control of the sealed partial sample.

F.8 While waiting to provide an additional sample, the athlete shall remain under continuous observation and be given the opportunity to hydrate.

F.9 When the athlete is able to provide an additional sample, procedures for collection shall be repeated as prescribed in Annex D: Collection of Urine Samples, until a sufficient volume of urine may be achieved by combining the initial and additional samples.

F.10 When the DCO is satisfied that the requirements for suitable volume of urine for analysis have been met, the DCO and athlete shall check the integrity of the seal(s) on the container(s) containing the previously provided partial sample(s). Any

irregularity with the integrity of the seal(s) will be recorded by the DCO and investigated according to Annex A - Investigating a Possible Failure to Comply.

F.11 The DCO shall then direct the athlete to break the seals and combine the samples, ensuring additional samples are added in the order they were collected to the original partial sample until, as a minimum, the requirement for suitable volume of urine for analysis is met.

F.12 The DCO and athlete shall then continue with the appropriate sections of Annex D: Collection of Urine Samples.

F.13 The DCO shall check the residual urine in accordance with Article D.20 to ensure that it meets the requirement for suitable specific gravity for analysis.

F.14 Urine should only be discarded when both the A and B containers have been filled to capacity in accordance with Procedure D.18. The suitable volume of urine for analysis shall be viewed as the minimum.

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

## Objective

G.1 To ensure that when the urine sample does not meet the requirement for suitable specific gravity for analysis, appropriate procedures are followed.

## Scope

G.2 The procedure begins with the DCO informing the athlete that a further sample is required and ends with the collection of a sample that meets the requirements for suitable specific gravity for analysis, or appropriate follow-up action by the IOC or IPC if required.

## Responsibility

G.3 Rio 2016 is responsible for establishing procedures to ensure a suitable sample is collected. If the original sample collected does not meet the requirements for suitable specific gravity for analysis, the DCO is responsible for collecting additional samples until a suitable sample is obtained.

## Requirements

G.4 The DCO shall determine that the requirements for suitable specific gravity for analysis have not been met.

G.5 The DCO shall inform the athlete that they are required to provide a further sample.

G.6 While waiting to provide additional samples, the athlete shall remain under continuous observation.

G.7 The athlete shall be advised not to hydrate excessively, since this may delay the production of a suitable sample. In appropriate circumstances, excessive hydration may be pursued as a violation of Code Article 2.5 (Tampering or Attempted Tampering with any part of Doping Control).

G.8 When the athlete is able to provide an additional sample, the DCO shall repeat the procedures for sample collection set out in Annex D - Collection of Urine Samples.

G.9 The DCO should continue to collect additional samples until the requirement for suitable specific gravity for analysis is met, or until the DCO determines there are exceptional circumstances which mean that for logistical reasons it is impossible to continue with the Sample Collection Session. Such exceptional circumstances shall be documented accordingly by the DCO.

G.10 In accordance with G.9, given the logistical nature of the Games it would typically be impossible to collect more than two (2) samples from athletes during one session. As such, the IOC or IPC will typically require athletes to provide one (1) additional sample in the event the athlete's sample does not meet the requirements for suitable specific gravity for analysis.

G.11 The DCO shall record that the samples collected belong to a single athlete and the order in which the samples were provided.

G.12 The DCO shall then continue with the Sample Collection Session in accordance with appropriate sections of Annex D: Collection of Urine Samples.

G.13 If it is determined that none of the athlete's samples meet the requirement for suitable specific gravity for analysis and the DCO determines that for logistical reasons it is impossible to continue with the Sample Collection Session, the DCO may end the Sample Collection Session. In such circumstances, if appropriate, the IOC or IPC may investigate a possible anti-doping rule violation.

G.14 The DCO shall send to the WADA-accredited laboratory for analysis all samples which were collected, irrespective of whether they meet the requirement for suitable specific gravity for analysis.

G.15 The WADA-accredited laboratory shall, in conjunction with the IOC or IPC, determine which samples shall be analysed.

# ANNEX H: SAMPLE COLLECTION PERSONNEL REQUIREMENTS

## Objective

H.1 To ensure sample collection personnel have no conflict of interest and have adequate qualifications and experience to conduct Sample Collection Sessions.

## Scope

H.2 Sample collection personnel requirements start with the development of the necessary competencies for sample collection personnel and ends with the provision of identifiable accreditation.

## Responsibility

H.3 Rio 2016 is responsible for all activities defined in this Annex H.

## Requirements - Qualifications and Training

H.4 The Sample Collection Authority shall:

- Determine the necessary competence and qualification requirements for the positions of DCO, chaperone and BCO
- Develop duty statements for all sample collection personnel that outline their respective responsibilities. As a minimum:
  - Sample collection personnel shall not be minors
  - BCOs shall have adequate qualifications and practical skills required to perform blood collection from a vein

H.5 Rio 2016 shall ensure sample collection personnel that have an interest in the outcome of the collection or testing of a sample from any athlete who might provide a sample at a session are not appointed to that Sample Collection Session. Sample collection personnel are deemed to have an interest if they are:

- Involved in the planning of the sport for which testing is being conducted
- Related to, or involved in, the personal affairs of any athlete who may provide a sample at that session

H.6 Rio 2016 shall ensure that sample collection personnel are adequately qualified and trained to carry out their duties.

H.7 The training programme for blood collection officers as a minimum shall include studies of all relevant requirements of the testing process and familiarisation with relevant standard precautions in healthcare settings.

H.8 The training programme for DCOs as a minimum shall include:

- Comprehensive theoretical training in different types of testing activities relevant to the DCO position
- Observation of all doping control activities that are the responsibility of the DCO as set out in this International Standard for Testing and Investigations, preferably on-site
- The satisfactory performance of one complete Sample Collection Session on-site under observation by a qualified DCO, or similar. The requirement related to the actual passing of a urine sample shall not be included in the on-site observations.

H.9 As a prerequisite to join the Rio 2016 Anti-Doping Programme as a doping control officer, the individual must already be a certified doping control officer in good standing with an anti-doping organisation.

H.10 The training programme for chaperones shall include studies of all relevant requirements of the sample collection process.

H.11 Rio 2016 shall maintain records of education, training, skills and experience.

#### **Requirements - Accreditation, re-accreditation and delegation.**

H.12 Rio 2016 shall accredit and reaccredit sample collection personnel.

H.13 Rio 2016 shall ensure sample collection personnel have completed the training programme and are familiar with the requirements in these rules before granting accreditation.

H.14 Accreditation shall only be valid for the duration of the Olympic and Paralympic Games.

H.15 Only sample collection personnel that have an accreditation recognised by Rio 2016 shall be authorised by Rio 2016 to conduct sample collection on behalf of the IOC or IPC.

H.16 DCOs may personally perform any activities involved in the Sample Collection Session, with the exception of blood collection, or they may direct a chaperone to perform specified activities that fall within the scope of the chaperone's authorised duties.

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