2015 *UCI* Anti-Doping Regulations

UCI Testing & Investigations Regulations

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The *UCI Testing* & Investigations Regulations ("*UCI* TIR") are mandatory regulations supplementing the *UCI* Anti-Doping Regulations ("*UCI* ADR"), in particular articles 5 and 6 of the *UCI* ADR.

The *UCI TIR* comes into effect on 1 January 2015.

The official text of the *UCI* TIR shall be maintained by *UCI* and shall be published in English and French. In the *Event* of any conflict between the English and French versions, the English version shall prevail.

TABLE OF CONTENTS

PART ONE: INTRODUCTION, *UCI* ANTI-DOPING REGULATIONS PROVISIONS AND DEFINITIONS

1.0 Introduction and scope

The *UCI Testing* & Investigations Regulations (*UCI TIR*) are mandatory regulations supplementing the *UCI* Anti-Doping Regulations (*UCI ADR*), in particular *UCI ADR* Articles 5 and 6.

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

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

Like the *UCI ADR,* the *UCI* TIR has been drafted giving due consideration to the principles of respect for human rights, proportionality, and other applicable legal principles. It shall be interpreted and applied in that light.

Terms used in this *UCI TIR* that are defined terms from the *UCI ADR* are written in italics. Terms that are defined in this *UCI TIR* are underlined.

2.0 *UCI ADR* provisions

The following articles in the 2015 *UCI ADR* are directly relevant to the *UCI* TIR.

UCI ADR Article 2 Anti-Doping Rule Violations

The purpose of Article 2 is to specify the circumstances and conduct which constitute anti-doping rule violations. Hearings in doping cases will proceed based on the assertion that one or more of these specific rules have been violated.

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

The following constitute anti-doping rule violations:

2.1 Presence of a *Prohibited Substance* or its *Metabolites* or *Markers* in a *Rider*'s *Sample*

[…]

2.2 *Use* or *Attempted Use* by a *Rider* of a *Prohibited Substance* or a *Prohibited Method*

[…]

2.3 Evading, Refusing or Failing to Submit to *Sample* Collection

Evading *Sample* collection, or without compelling justification refusing or failing to submit to *Sample* collection after notification as authorized in these Anti-Doping Rules or other applicable anti-doping rules.

[*Comment to Article 2.3: For example, it would be an anti-doping rule violation of "evading Sample collection" if it were established that a Rider was deliberately avoiding a Doping Control official to evade notification or Testing. A violation of "failing to submit to Sample collection" may be based on either intentional or negligent conduct of the Rider, while "evading" or "refusing" Sample collection contemplates intentional conduct by the Rider.*]

2.4 Whereabouts Failures

Any combination of three Missed Tests and/or Filing Failures, as defined in the International Standard for *Testing* and Investigations and the *UCI Testing* & Investigations Regulations, within a twelve-month period by a *Rider* in a *Registered Testing Pool*.

2.5 *Tampering* or *Attempted Tampering* with any part of *Doping Control*

Conduct which subverts the *Doping Control* process but which would not otherwise be included in the definition of *Prohibited Methods*. *Tampering* shall include, without limitation, intentionally interfering or attempting to interfere with a *Doping Control* official, providing fraudulent information to an *Anti-Doping Organization*, or intimidating or attempting to intimidate a potential Witness.

[*Comment to Article 2.5: For example, this Article would prohibit altering identification numbers on a Doping Control form during Testing, breaking the B bottle at the time of B Sample analysis, or altering a Sample by the addition of a foreign substance. Offensive conduct towards a Doping Control official or other Person involved in Doping Control which does not otherwise constitute Tampering shall be addressed in the disciplinary rules of sport organizations*.]

2.6 *Possession* of a *Prohibited Substance* or a *Prohibited Method*

[…]

2.7 *Trafficking* or *Attempted Trafficking* in any *Prohibited Substance* or *Prohibited Method*

[…]

2.8 *Administration* or *Attempted Administration* to any *Rider In-Competition* of any *Prohibited Substance* or *Prohibited Method*, or *Administration* or *Attempted Administration* to any *Rider Out-of-Competition* of any *Prohibited Substance* or any *Prohibited Method* that is prohibited *Out-of-Competition*

2.9 Complicity

Assisting, encouraging, aiding, abetting, conspiring, covering up or any other type of intentional complicity involving an anti-doping rule violation, *Attempted* anti-doping rule violation or violation of Article 10.12.1 by another *Person*.

2.10 Prohibited Association

Association by a *Rider* or other *Person* subject to the authority of an *Anti-Doping Organization* in a professional or sport-related capacity with any *Rider Support Person* who:

2.10.1 If subject to the authority of an *Anti-Doping Organization*, is serving a period of *Ineligibility*; or

2.10.2 If not subject to the authority of an *Anti-Doping Organization* and where *Ineligibility* has not been addressed in a results management process pursuant to the *Code*, has been convicted or found in a criminal, disciplinary or professional proceeding to have engaged in conduct which would have constituted a violation of anti-doping rules if *Code*-compliant rules had been applicable to such *Person*. The disqualifying status of such *Person* shall be in force for the longer of six years from the criminal, professional or disciplinary decision or the duration of the criminal, disciplinary or professional sanction imposed; or

2.10.3 Is serving as a front or intermediary for an individual described in Article 2.10.1 or 2.10.2.

[…]

UCI ADR Article 5 *Testing* and Investigations

5.1 Purpose of *Testing* and Investigations

Testing and investigations shall only be undertaken for anti-doping purposes.

5.1.1 *Testing* shall be undertaken to obtain analytical evidence as to the *Rider's* compliance (or non-compliance) with the strict prohibition on the presence/*Use* of a *Prohibited Substance* or *Prohibited Method*.

5.1.2 Investigations shall be undertaken:

(a) in relation to *Atypical Findings* and *Adverse Passport Findings*, in accordance with Articles 7.4 and 7.5 respectively, gathering intelligence or evidence (including, in particular, analytical evidence) in order to determine whether an anti-doping rule violation has occurred under Article 2.1 and/or Article 2.2; and

(b) in relation to other indications of potential anti-doping rule violations, in accordance with Articles 7.6 and 7.7, gathering intelligence or evidence (including, in particular, non-analytical evidence) in order to determine whether an anti-doping rule violation has occurred under any of Articles 2.2 to 2.10.

5.2 Scope of *Testing*

Any *Rider* may be required to provide a *Sample* at any time and at any place by the *UCI* or any other *Anti-Doping Organization* with *Testing* authority over him or her.

Subject to the jurisdictional limitations for *Event Testing* set out in Article 5.3:

5.2.1 The *UCI* shall have *In-Competition* and *Out-of-Competition Testing* authority over all *Riders* who are subject to its rules as defined in the Introduction of these Anti-Doping Rules.

5.2.2 *WADA* shall have *In-Competition and Out-of-Competition Testing* authority to conduct *Testing*, in exceptional circumstances, on its own initiative or as requested by the *UCI*.

[*Comment to Article 5.2.2: WADA is not a Testing agency, but it reserves in Article 20.7.8 of the Code the right, in exceptional circumstances, to conduct its own tests where requested by Anti-Doping Organizations. Pursuant to the Comment to Article 20.7.8 of the Code, WADA is not a Testing agency, but it reserves the right, in exceptional circumstances, to conduct its own tests where problems have been brought to the attention of the relevant Anti-Doping Organization and have not been satisfactorily addressed.*].

5.2.3 The *UCI* may test any *Rider* over whom it has *Testing* authority who has not retired, including *Riders* serving a period of *Ineligibility.*

5.2.4 If the *UCI* delegates or contracts any part of *Testing* to a *National Anti-Doping Organization* (directly or through a *National Federation*), that *National Anti-Doping Organization* may collect additional *Samples* or direct the laboratory to perform additional types of analysis at the *National Anti-Doping Organization's* expense. If additional *Samples* are collected or additional types of analysis are performed, the *UCI* shall be notified. The responsibility for results management in either case shall be as set forth in Article 7.1.

[*Comment to Article 5.2: Additional authority to conduct Testing may be conferred by means of bilateral or multilateral agreements among Signatories. Unless the Rider has identified a 60-minute Testing window during the following-described time period, or otherwise consented to Testing during that period, before Testing a Rider between the hours of 11:00 p.m. and 6:00 a.m., an Anti-Doping Organization should have serious and specific suspicion that the Rider may be engaged in doping. A challenge to whether an Anti-Doping Organization had sufficient suspicion for Testing during this time period shall not be a defense to an anti-doping rule violation based on such test or attempted test.*]

5.3 ***Event Testing***

5.3.1 Except as otherwise provided below, only a single organization should be responsible for initiating and directing *Testing* at *Event Venues* during an *Event Period.*

At *UCI International Events,* the collection of *Samples* shall be initiated and directed by the *UCI*.

At *UCI International Events*, any *Testing* during the *Event Period* outside of the *Event Venues* shall be coordinated with the *UCI*.

5.3.2 If an *Anti-Doping Organization* which would otherwise have *Testing* authority desires to conduct *Testing* of *Riders* at the *Event Venues* during the *Event Period,* the *Anti-Doping Organization* shall first confer with the *UCI* to obtain permission to conduct and coordinate such *Testing.*

If the *Anti-Doping Organization* is not satisfied with the response from the *UCI,* the *Anti-Doping Organization* may, in accordance with procedures published by *WADA,* ask *WADA* for permission to conduct *Testing* and to determine how to coordinate such *Testing. WADA* shall not grant approval for such *Testing* before consulting with and informing the *UCI*. *WADA's* decision shall be final and not subject to appeal.

Unless otherwise provided in the authorization to conduct *Testing*, such tests shall be considered *Out-of-Competition* tests*.* Results management for any such test shall be the responsibility of the *Anti-Doping Organization* initiating the test unless provided otherwise in the authorization to conduct *Testing*.

[*Comment to Article 5.3.2: The UCI may, if it chooses, enter into agreements with other organizations to which it delegates responsibility for Sample collection or other aspects of the Doping Control process*, including *National Anti-Doping Organizations*, *in which case results management authority shall be as set forth in Article 7.1, unless otherwise determined in the delegation or contract*]*.*

5.3.3 Notwithstanding Article 5.3, the *UCI* may elect to conduct *Testing* during a *National Event Period* on *Riders* under its *Testing* authority participating in such *Event*, including, with the authorization of the *Anti-Doping Organisation* having *Testing* responsibility for the *Event*, at the *Event Venues*.

5.4 Test Distribution Planning

5.4.1 The *UCI* shall develop and implement an effective, intelligent and proportionate Test Distribution Plan that prioritizes appropriately between disciplines, categories of *Riders*, types of *Testing*, types of *Samples* collected, and types of *Sample* analysis*.* The *UCI* shall provide *WADA* upon request with a copy of its current Test Distribution Plan.

5.4.2 Where reasonably feasible, *Testing* shall be coordinated through *ADAMS* or another system approved by *WADA*, in order to maximize the

effectiveness of the combined *Testing* effort and to avoid unnecessary repetitive *Testing*.

5.5 *Testing* Requirements

All *Testing* under these Anti-Doping Rules shall be conducted in conformity with the *UCI Testing* & Investigations Regulations.

The *UCI Testing* & Investigations Regulations, and related Technical Documents, are integral part of these Anti-Doping Rules.

They may be amended by the *UCI* from time to time (including upon amendment of the corresponding *International Standard* or Technical Document by *WADA*) and are available in their current version on the *UCI Website*.

5.6 *Rider* Whereabouts Information

The *UCI* shall establish a *Registered Testing Pool* of *Riders* subject to the whereabouts requirements as set forth in the *UCI Testing* & Investigations Regulations. The *UCI* shall make available, through the *UCI Website,* a list which identifies those *Riders* included in its *Registered Testing Pool* either by name or by clearly defined, specific criteria.

Riders included in the *UCI Registered Testing Pool* shall provide whereabouts information in the manner specified in the *UCI Testing* & Investigations Regulations.

Riders shall be notified (a.) when they are included in the *UCI Registered Testing Pool*, and (b.) when they are removed from the *UCI Registered Testing Pool*.

For purposes of Article 2.4, failure by a *Rider* included in the *UCI Registered Testing Pool* to comply with the requirements set forth in the *UCI Testing* & Investigations Regulations shall be deemed a Filing Failure or a Missed Test (as defined in the *UCI Testing* & Investigations Regulations) where the conditions set forth in the *UCI Testing* & Investigations Regulations are met.

A *Rider* in the *UCI Registered Testing Pool* shall continue to be subject to the obligation to comply with the whereabouts requirements unless and until (a) the *Rider* gives written notice to the *UCI* of his/her retirement as set forth in the *UCI Testing* & Investigations Regulations or (b) the *UCI* notifies the *Rider* that he/she is removed from the *UCI Registered Testing Pool*.

The whereabouts information provided while in the *Registered Testing Pool* may be made accessible, through *ADAMS*, to *WADA* and to other *Anti-Doping Organizations* having authority to test the *Rider*.

This information shall be maintained in strict confidence at all times; shall be used exclusively for purposes of planning, coordinating or conducting *Doping Control,* providing information relevant to the *Athlete Biological Passport* or other analytical results, to support an investigation into a potential anti-doping rule violation, or to support proceedings alleging an anti-doping rule violation; and shall be destroyed after it is no longer relevant for these purposes, in accordance with the International Standard for the Protection of Privacy and Personal Information.

5.7 Retired *Riders* Returning to *Competition*

5.7.1 If a *Rider* in the *UCI Registered Testing Pool* retires in accordance with the *UCI Testing* & Investigations Regulations and then wishes to return to active participation in sport, the *Rider* shall not compete in *International Events* until the *Rider* has made himself or herself available for *Testing*, by giving six months prior written notice to the *UCI*.

WADA, in consultation with the *UCI*, may grant an exemption to the six-month written notice rule where the strict application of that rule would be manifestly unfair to a *Rider*. This decision may be appealed under Article 13.

5.7.1.1 Any competitive results obtained in violation of Article 5.7.1 shall be *Disqualified*.

5.7.2 If a *Rider* retires from sport while subject to a period of *Ineligibility* and then wishes to return to active *Competition* in sport, the *Rider* shall not compete in *International Events* until the *Rider* has made himself or herself available for *Testing* by giving six months prior written notice (or notice equivalent to the period of *Ineligibility* remaining as of the date the *Rider* retired, if that period was longer than six months) to the *UCI*.

Moreover, the *Rider* shall comply with the requirements set out under article 10.12.5, if applicable.

5.8 Investigations and Intelligence Gathering

The *UCI* will ensure that they are able to do each of the following, as applicable and in accordance with the International Standard for *Testing* and Investigations:

5.8.1 Obtain, assess and process anti-doping intelligence from all available sources to inform the development of an effective, intelligent and proportionate Test Distribution Plan, to plan *Target Testing*, and/or to form the basis of an investigation into a possible anti-doping rule violation(s); and

5.8.2 Investigate *Atypical Findings* and *Adverse Passport Findings*, in accordance with Articles 7.4 and 7.5 respectively; and

5.8.3 Investigate any other analytical or non-analytical information or intelligence that indicates a possible anti-doping rule violation(s), in accordance with Articles 7.6 and 7.7, in order either to rule out the possible violation or to develop evidence that would support the initiation of proceedings for an anti-doping rule violation.

UCI ADR Article 6 *Sample* Analysis

6.2 Purpose of Analysis of *Samples.*

Samples shall be analyzed to detect *Prohibited Substances* and *Prohibited Methods* identified on the *Prohibited List* and other substances as may be directed by *WADA* under the Monitoring Program pursuant to Article 4.5, or to

assist an *Anti-Doping Organization* in profiling relevant parameters in a *Rider's* urine, blood or other matrix, including DNA or genomic profiling, or for any other legitimate anti-doping purpose. *Samples* may be collected and stored for future analysis.

[Comment to Article 6.2: For example, relevant profile information could be used to direct Target Testing or to support an anti-doping rule violation proceeding under Article 2.2, or both.]

6.4 Standards for *Sample* Analysis and Reporting

Laboratories shall analyze *Samples* and report results in conformity with the International Standard for Laboratories.

The International Standard for Laboratories, and related Technical Documents, are integral part of these Anti-Doping Rules.

A *WADA* Technical Document will establish risk assessment-based *Sample* analysis menus appropriate for particular sports and sport disciplines, and laboratories shall analyze *Samples* in conformity with those menus and as set forth in this Technical Document, except as follows:

6.4.1 The *UCI* may request that laboratories analyze *Samples* using more extensive menus than those described in the Technical Document.

6.4.2 The *UCI* may request that laboratories analyze *Samples* using less extensive menus than those described in the Technical Document only if it has satisfied *WADA* that, because of the particular circumstances of its sport, as set out in its Test Distribution Plan, less extensive analysis would be appropriate.

6.4.3 As provided in the International Standard for Laboratories, laboratories at their own initiative and expense may analyze *Samples* for *Prohibited Substances* or *Prohibited Methods* not included on the *Sample* analysis menu described in the Technical Document or specified by the *UCI*. Results from any such analysis shall be reported and have the same validity and *Consequence* as any other analytical result.

6.5 Further Analysis of *Samples*

6.5.1 Any *Sample* may be subject to further analysis by the *UCI* at any time before both the A and B *Sample* analytical results (or A *Sample* result where B *Sample* analysis has been waived or will not be performed) have been communicated by the *UCI* to the *Rider* as the asserted basis for an Article 2.1 anti-doping rule violation.

6.5.2 *Samples* may be stored and subjected to further analyses for the purpose of Article 6.2 at any time exclusively at the direction of the *UCI* or *WADA.* Any *Sample s*torage or further analysis initiated by *WADA* shall be at *WADA's* expense. Further analysis of *Samples* shall conform with the requirements of the International Standard for Laboratories and the *UCI Testing* & Investigations Regulations.

6.6 Ownership of *Samples*

6.6.1 *Samples* collected from a *Rider* under these Anti-Doping Rules are owned by the *UCI*.

6.6.2 The *UCI* may transfer ownership of the *Samples* to another *Anti-Doping Organization*, or receive ownership of *Samples* from other *Anti-Doping Organizations*.

UCI ADR Article 7 Results Management and Investigation Procedures

7.1 Responsibility for Results Management and Investigations

Except as provided for in Articles 7.1.1 and 7.1.2 below, for violation of these rules, results management and hearing shall be the responsibility of, and shall be governed by, the procedural rules of the *Anti-Doping Organization* that initiated and directed *Sample* collection (and if no *Sample* collection is involved, the *Anti-Doping Organization* which first provides notice to the *Rider* or other *Person* of an asserted anti-doping rule violation and then diligently pursues that anti-doing rule violation).

7.1.1 General Responsibilities of the *UCI*

The *UCI* shall have responsibility for results management and investigations conducted under these Anti-Doping Rules as follows, subject to Articles 7.1.2 and 7.1.4. below:

7.1.1.1 For potential violations arising in connection with *Testing* conducted by the *UCI* under these Anti-Doping Rules, including investigations against *Rider Support Personnel* or other *Persons* potentially involved in such violations;

[Comment: violations arising in connection with Testing shall include, without limitation, Article 2.1, 2.2 (where the violation is based on Test results), 2.3 or 2.5]

7.1.1.2 For potential violation of these Anti-Doping Rules where no *Testing* is involved and where the following apply:

either:

a) for all violations involving *International-Level Riders, Rider Support Personnel* or other *Persons* who have an involvement in any capacity in *International Events* or with *International-Level Riders;*

or:

b) for all violations occurring in connection with - or discovered on the occasion of - an International *Event*;

and:

c) where the UCI is the *Anti-Doping Organization* which first provides notice to a *Rider* or other *Person* of an asserted anti-doping rule violation and then diligently pursues that anti-doping rule violation.

[…]

7.4 Review of *Atypical Findings*

As provided in the *International Standard for Laboratories*, in some circumstances laboratories are directed to report the presence of *Prohibited Substances*, which may also be produced endogenously, as *Atypical Findings* subject to further investigation.

Upon receipt of an *Atypical Finding*, the *UCI* shall conduct a review to determine whether: (a) an applicable *TUE* has been granted or will be granted in accordance with Article 4.4 and the *UCI TUE* Regulations, or (b) there is any apparent departure from the *UCI Testing* & Investigations Regulations or International Standard for Laboratories that caused the *Atypical Finding.*

If that review does not reveal an applicable *TUE* or departure that caused the *Atypical Finding*, the *UCI* shall conduct the required investigation.

After the investigation is completed, the *Rider* and other *Anti-Doping Organizations* identified in Article 14.2 shall be notified whether or not the *Atypical Finding* will be brought forward as an *Adverse Analytical Finding*. The *Rider* shall be notified as provided in Article 7.3.

7.4.1 The *UCI* will not provide notice of an *Atypical Finding* until it has completed its investigation and decided whether it will bring the *Atypical Finding* forward as an *Adverse Analytical Finding* unless one of the following circumstances exists:

(a) If the *UCI* determines the B *Sample s*hould be analyzed prior to the conclusion of its investigation under Article 7.4, the *UCI* may conduct the B *Sample* analysis after notifying the *Rider*, with such notice to include a description of the *Atypical Finding* and the information described in Article 7.3(d)-(f).

(b) If the *UCI* receives a request, either from a *Major Event Organization* shortly before one of its *International Events* or a request from a sport organization responsible for meeting an imminent deadline for selecting team members for an *International Event*, to disclose whether any *Rider* identified on a list provided by the *Major Event Organization* or sport organization has a pending *Atypical Finding*, the *UCI* shall so identify any such *Rider* after first providing notice of the *Atypical Finding* to the *Rider.*

[Comment to Article 7.4.1(b): Under the circumstance described in Article 7.4.1(b), the option to take action would be left to the Major Event Organization or sport organization consistent with its rules.]

[Comment to Article 7.4: The "required investigation" described in this Article will depend on the situation. For example, if it has previously been determined that a

Rider has a naturally elevated testosterone/ epitestosterone ratio, confirmation that an Atypical Finding is consistent with that prior ratio is a sufficient investigation.]

7.5 Review of *Atypical Passport Findings* and *Adverse Passport Findings*

Review of *Atypical Passport Findings* and *Adverse Passport Findings* shall take place as provided in the *UCI Testing* & Investigations Regulations, *International Standard for Laboratories*, *WADA*'s *Athlete Biological Passport* Operating Guidelines and respectively related Technical Documents.

At such time as the *UCI* is sufficiently satisfied that an anti-doping rule violation has occurred, it shall promptly give the *Rider* notice of the anti-doping rule violation asserted, and the basis of that assertion. Other *Anti-Doping Organizations* shall be notified as provided in Article 14.2.

7.6 Review of Whereabouts Failures

Review of potential Filing Failures and Missed Tests shall take place as provided in the *UCI Testing* & Investigations Regulations. At such time as the *UCI* is sufficiently satisfied that an Article 2.4 anti-doping rule violation has occurred, it shall promptly give the *Rider* notice that it is asserting a violation of Article 2.4 and the basis of that assertion. Other *Anti-Doping Organizations* shall be notified as provided in Article 14.2.

7.7 Review of Other Anti-Doping Rule Violations Not Covered by Articles 7.1–7.6

Within the scope of its responsibilities under Article 7.1, the *UCI* shall conduct any investigation into a possible anti-doping rule violation as may be required under applicable anti-doping policies and rules adopted pursuant to the *Code* or the *UCI* otherwise considers appropriate.

The *UCI* may, prior to the completion of the investigation, inform the *Rider* or other *Person* of the possible anti-doping rule violation, to request further information the *Rider* or other *Person* or give the *Rider* or other *Person* an opportunity to provide explanations.

At such time as the *UCI* is sufficiently satisfied that an anti-doping rule violation has occurred, it shall promptly give the *Rider* or other *Person* notice of the anti-doping rule violation asserted, and the basis of that assertion. Other *Anti-Doping Organizations* shall be notified as provided in Article 14.2.

UCI ADR Article 10 Sanctions on Individuals

10.3.2 For violations of Article 2.4, the period of *Ineligibility* shall be two years, subject to reduction down to a minimum of one year, depending on the *Rider*'s degree of *Fault*. The flexibility between two years and one year of *Ineligibility* in this Article is not available to *Riders* where a pattern of last-minute whereabouts changes or other conduct raises a serious suspicion that the *Rider* was trying to avoid being available for *Testing*.

[…]

10.6.1 *Substantial Assistance* in Discovering or Establishing Anti-Doping Rule Violations

10.6.1.1 The *UCI* may, prior to a final appellate decision under Article 13 or the expiration of the time to appeal, suspend a part of the period of *Ineligibility* imposed in an individual case in which it has Results Management Authority where the *Rider* or other *Person* has provided *Substantial Assistance* to an *Anti-Doping Organization*, criminal authority or professional disciplinary body which results in:

(i) the *Anti-Doping Organization* discovering or bringing forward an anti-doping rule violation by another *Person*, or

(ii) which results in a criminal or disciplinary body discovering or bringing forward a criminal offense or the breach of professional rules committed by another *Person* and the information provided by the *Person* providing *Substantial Assistance* is made available to the *UCI*.

After a final appellate decision under Article 13 or the expiration of time to appeal, the *UCI* may only suspend a part of the otherwise applicable period of *Ineligibility* with the approval of *WADA*. The extent to which the otherwise applicable period of *Ineligibility* may be suspended shall be based on the seriousness of the anti-doping rule violation committed by the *Rider* or other *Person* and the significance of the *Substantial Assistance* provided by the *Rider* or other *Person* to the effort to eliminate doping in sport. No more than three-quarters of the otherwise applicable period of *Ineligibility* may be suspended. If the otherwise applicable period of *Ineligibility* is a lifetime, the non-suspended period under this Article must be no less than eight years. If the *Rider* or other *Person* fails to continue to cooperate and to provide the complete and credible *Substantial Assistance* upon which a suspension of the period of *Ineligibility* was based, the *UCI* shall reinstate the original period of *Ineligibility*. If the *UCI* decides to reinstate a suspended period of *Ineligibility* or decides not to reinstate a suspended period of *Ineligibility*, that decision may be appealed by any *Person* entitled to appeal under Article 13.

[…]

UCI ADR **Article 13 Appeals**

13.3 Failure to Render a Timely Decision by an *Anti-Doping Organization*

Where, in a particular case, the *UCI* fails to render a decision with respect to whether an anti-doping rule violation was committed within a reasonable deadline set by *WADA*, *WADA* may elect to appeal directly to *CAS* as if the *UCI* had rendered a decision finding no anti-doping rule violation. If the *CAS* hearing panel determines that an anti-doping rule violation was committed and that *WADA* acted reasonably in electing to appeal directly to *CAS*, then *WADA's* costs and attorney fees in prosecuting the appeal shall be reimbursed to *WADA* by the *Anti-Doping Organization*.

[Comment to Article 13.3: Given the different circumstances of each anti-doping rule violation investigation and results management process, it is not feasible to establish a fixed time period for an Anti-Doping Organization to render a decision before WADA may intervene by appealing directly to CAS. Before taking such action, however, WADA will consult with the Anti-Doping Organization and give the Anti-Doping Organization an opportunity to explain why it has not yet rendered a decision. Nothing in this Article prohibits an International Federation from also having rules which authorize it to assume jurisdiction for matters in which the results management performed by one of its National Federations has been inappropriately delayed.]

UCI ADR Article 14 Confidentiality and Reporting

14.1 Notices and Time Limits under these Anti-Doping Rules

14.1.1 In General

Unless otherwise specified, notice by and to the *UCI* under these Anti-Doping Rules, *UCI* Regulations, procedures or other document adopted in connection therewith, may be given by any means permitting proof of receipt, including registered or ordinary mail by post or private courier services, electronic mail or facsimile.

If a notice triggers the start of a time limit under the Anti-Doping Rules (including the time limit to appeal to CAS under Article 13), the time limit shall start running on the day following notice. Official holidays and non-working days are included in the calculation of time limits. The time limits fixed under these Rules are respected if the communications by the parties are sent before midnight, time of the location where the notification has to be made, on the last day on which such time limits expire. If the last day of the time limit is an official holiday or a non-business day in the country where the notification is to be made, the time limit shall expire at the end of the first subsequent business day.

Notice shall be deemed to have occurred when delivered within the addressee's sphere of control. Proof that the addressee was, without his or her fault, not in a position to have knowledge of a notice so delivered shall be on the addressee.

14.1.2 Notice to *Riders* and other *Persons* under these Anti-Doping Rules

Notice to a *Rider* or other *Person* may be accomplished by delivery of the notice to his or her National Federation or Team.

The National Federation or Team shall be responsible for making immediate contact with the *Rider* or other *Person*.

[…]

14.2.3 Status Reports

Except with respect to investigations which have not resulted in notice of an anti-doping rule violation pursuant to Article 14.2.1, the *Anti-Doping Organizations* referenced in Article 14.2.1 shall be regularly updated on the status and findings of any review or proceedings conducted pursuant to Article 7, 8 or 13 and shall be provided with a prompt written reasoned explanation or decision explaining the resolution of the matter.

UCI ADR Article 21 Additional Roles and Responsibilities of *Riders* and other *Persons*

21.1 Roles and Responsibilities of *Riders*

[…]

21.1.2 To be available for *Testing* at all times.
[…]
21.1.6 To cooperate with *Anti-Doping Organizations* investigating anti-doping rule violations.

21.2 Roles and Responsibilities of *Rider Support Personnel*

[…]
21.2.2 To cooperate with the *Rider Testing* program.
[…]
21.2.5 To cooperate with *Anti-Doping Organizations* investigating anti-doping rule violations.
[…]

3.0 Definitions and interpretation

3.1 Defined terms from the *UCI ADR* that are used in the *UCI TIR*.

ADAMS: The Anti-Doping Administration and Management System is a Web-based database management tool for data entry, storage, sharing, and reporting designed to assist stakeholders and *WADA* in their anti-doping operations in conjunction with data protection legislation.

Adverse Analytical Finding: A report from a *WADA* –accredited laboratory or other *WADA* -approved laboratory that, consistent with the International Standard for Laboratories and related Technical Documents, identifies in a *Sample* the presence of a *Prohibited Substance* or its *Metabolites* or *Markers* (including elevated quantities of endogenous substances) or evidence of the *Use* of a *Prohibited Method*.

Adverse Passport Finding: A report identified as an *Adverse Passport Finding* as described in the applicable *International Standards, WADA's Athlete Biological Passport Operating Guidelines* or applicable *UCI* Regulations.

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

Athlete Biological Passport: The program and methods of gathering and collating data as described in the applicable *WADA* Guidelines and Technical Documents and *UCI Testing and Investigation Regulations*.

Atypical Finding: A report from a *WADA* -accredited laboratory or other *WADA* -approved laboratory which requires further investigation as provided by the International Standard for Laboratories or related Technical Documents prior to the determination of an *Adverse Analytical Finding*.

Code: The World Anti-Doping *Code*.

Consequences of Anti-Doping Rule Violations ("Consequences "): A *Rider's* or other *Person's* violation of an anti-doping rule may result in one or more of the following: (a) *Disqualification* means the *Rider's* results in a particular *Competition* or *Event* are invalidated, with all resulting *Consequences* including forfeiture of any medals, points and prizes; (b) *Ineligibility* means the *Rider* or other *Person* is barred on account of an anti-doping rule violation for a specified period of time from participating in any *Competition* or other activity or funding as provided in Article 10.12.1; (c) *Provisional Suspension* means the *Rider* or other *Person* is barred temporarily from participating in any *Competition* or activity prior to the final decision at a hearing conducted under Article 8; (d) *Financial Consequences* means a financial sanction imposed for an anti-doping rule violation or to recover costs associated with an anti-doping rule violation; and (e) *Public Disclosure or Public Reporting* means the dissemination or distribution of information to the general public or *Persons* beyond those *Persons* entitled to earlier notification in accordance with Article 13. Teams may also be subject to *Consequences* as provided in Article 11.

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

Doping Control: All steps and processes from test distribution planning through to ultimate disposition of any appeal including all steps and processes in between such as provision of whereabouts information, *Sample* collection and handling, laboratory analysis, *TUEs*, results management and hearings.

Event: A single *Competitio*n organized separately (for example: a one day road race) or a series of *Competitions* conducted together as a single organization (for example: road World Championships; a road stage race, a track World Cup *Event*); a reference to *Event* includes reference to *Competition*, unless the context indicates otherwise.

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

Event Period: Period which starts at midnight the day before the *Event* is set to take place and finishes at midnight the day on which the *Event* ends. However for Grand Tours the period commences at midnight three days before the *Event* is set to begin and finishes at midnight the day on which the *Event* ends (for example: the *Event Period* for a one-day road race scheduled to start on 19 December at 10:00 starts on 18 December at 00:01 and finishes on 19 December at 23:59).

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

Independent Observer Program: A team of observers, under the supervision of *WADA*, who observe and provide guidance on the *Doping Control* process at certain *Events* and report on their observations.

International Event: An *Event or Competition* where the *International Olympic Committee,* the *International Paralympic Committee*, the *UCI*, a *Major Event Organization,* or another *international* sport organization is the ruling body for the *Event* or appoints the technical officials for the *Event.*

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

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

Minor: A natural *Person* who has not reached the age of eighteen years.

National Anti-Doping Organization: The entity(ies) designated by each country as possessing the primary authority and responsibility to adopt and implement anti-doping rules, direct the collection of *Samples*, the management of test results, and the conduct of hearings at the national level. If this designation has not been made by the competent public authority(ies), the entity shall be the country's *National Olympic Committee* or its designee.

National Event: A sport *Event* or *Competition* involving *International*- or *National-Level Riders* that is not an *International Event* or an *UCI International Event* within the meaning of the second paragraph of the definition of *International Event*.

National-Level Rider: Riders who compete in sport at the national level, as defined by each *National Anti-Doping Organization,* consistent with the International Standard for *Testing* and Investigations.

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

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

Registered Testing Pool (or RTP): The pool of highest-priority *Riders* established separately at the international level by International Federations and at the national level by *National Anti-Doping Organizations,* who are subject to focused *In-Competition* and *Out-of-Competition Testing* as part of that International Federation's or *National Anti-Doping Organization's* Test Distribution Plan and therefore are required to provide whereabouts information as provided in Article 5.6.

Rider: Any *Person* subject to these Anti-Doping Rules who competes in the sport of cycling, whether at the international level as defined by the *UCI* in the Introduction to these Anti-Doping Rules (*International-Level Rider*), at the national level (*National-Level Rider*) as defined by each *National Anti-Doping Organization)*, or otherwise.

An *Anti-Doping Organization* has discretion to apply anti-doping rules to a *Rider* who is neither an *International-Level Rider* nor a *National-Level Rider*, and thus to bring them within the definition of "*Rider*." In relation to *Riders* who are neither *International-Level* nor *National-Level Riders*, an *Anti-Doping Organization* may elect to: conduct limited *Testing* or no *Testing* at all; analyze *Samples* for less than the full menu of *Prohibited Substances*; require limited or no whereabouts information; or not require advance *TUEs*. However, if an Article 2.1, 2.3 or 2.5 anti-doping rule violation is committed by any *Rider* over whom an *Anti-Doping Organization* has authority who competes below the international or national level, then the *Consequences* set forth in the *Code* (except Article 14.3.2) must be applied. For purposes of Article 2.8 and Article 2.9 and for purposes of anti-doping information and education, any *Person* who participates in sport under the authority of any *Signatory*, government, or other sports organization accepting the *Code* is a *Rider*.

[Comment to Rider: This definition makes it clear that all International and National-Level Riders are subject to the anti-doping rules of the Code, with the precise definitions of international- and national-level sport to be set forth in the anti-doping rules of the International Federations and National Anti-Doping Organizations, respectively. The definition also allows each National Anti-Doping Organization, if it chooses to do so, to expand its anti-doping program beyond International- or National- Level Riders to competitors at lower levels of Competition or to individuals who engage in fitness activities but do not compete at all. Thus, a National Anti-Doping Organization could, for example, elect to test recreational-level competitors but not require advance TUEs. But an anti-doping rule violation involving an Adverse Analytical Finding or Tampering results in all of the Consequences provided for in the Code (with the exception of Article 13.4.2). The decision on whether Consequences apply to recreational-level Riders who engage in fitness activities but never compete is left to the National Anti-Doping Organization. In the same manner, a Major Event Organization holding an Event only for masters-level competitors could elect to test the competitors but not analyze Samples for the full menu of Prohibited Substances. Competitors at all levels of Competition should receive the benefit of anti-doping information and education.]

Sample or *Specimen:* Any biological material collected for the purposes of *Doping Control*.

[Comment to Sample or Specimen: It has sometimes been claimed that the collection of blood Samples violates the tenets of certain religious or cultural groups. It has been determined that there is no basis for any such claim.]

Signatories: Those entities signing the *Code* and agreeing to comply with the *Code* and the *International Standards*.

Substantial Assistance: For purposes of Article 10.6.1, a *Person* providing *Substantial Assistance* must: (1) fully disclose in a signed written statement all information he or she possesses in relation to anti-doping rule violations, and (2) fully cooperate with the investigation and adjudication of any case related to that information, including, for example, presenting testimony at a hearing if requested to do so by an *Anti-Doping Organization* or hearing panel. Further, the information provided must be credible and must comprise an important part of any case which is initiated or, if no case is initiated, must have provided a sufficient basis on which a case could have been brought.

Target Testing: Selection of specific *Riders* for *Testing* based on criteria set forth in the *UCI Testing* & Investigations Regulations*.*

Team Sport: A sport in which the substitution of players is permitted during a *Competition*.

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

WADA: The World Anti-Doping Agency.

3.2 Defined terms specific to the *UCI Testing* and Investigations Regulations:

Blood Collection Officer (or BCO): An official who is qualified and has been authorized by the *Sample* Collection Authority to collect a blood *Sample* from 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 *Rider* selected for *Sample* collection; accompanying and observing the *Rider* until arrival at the *Doping Control* Station; and accompanying and/or observing *Riders* who are present in the *Doping Control* Station.

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

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

***Event Testing*:** *Testing* organised in the scope of an *Event* during the *Event Period*.

Failure to Comply: A term used to describe violations under *UCI* ADR Articles 2.3 and/or 2.5 and/or with respect to the requirements with respect to whereabouts filings requirements.

Filing Failure: A failure by the *Rider* (or by a third party to whom the *Rider* has delegated the task) to make an accurate and complete Whereabouts Filing that enables the *Rider* to be located for *Testing* at the times and locations set out in the Whereabouts Filing or to update that Whereabouts Filing where necessary to ensure that it remains accurate and complete, all in accordance with Article 5.3 of the *UCI TIR*.

List for notification purposes: List of *Riders* selected for *Doping Control*s in the scope of Post-Finish *Testing*, published as per Article 7.2.4.

Missed Test: A failure by the *Rider* to be available for *Testing* at the location and time specified in the 60-minute time slot identified in his/her Whereabouts Filing for the day in question, in accordance with Article 5.3.2 of the *UCI TIR*.

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

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

Random Selection: Selection of *Riders* for *Testing* that is not *Target Testing*.

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

Results Management Authority for whereabouts purposes: The *Anti-Doping Organization* responsible for the results management of Whereabouts Failures.

Retirement: For the sport of cycling, when a *Rider* no longer intends on and effectively no longer competes in *International Events.*

[Comment: Retirement is effective only when the UCI has received the Rider's written notice or as from the 1st January of the year for which the Rider has not requested a licence allowing participation in International Events.]

***Sample* Collection Authority:** The organisation that is responsible for the collection of *Samples* in compliance with the requirements of the *UCI* TIR, whether (1) the *Testing* Authority itself; or (2) another organization (for example, a third party contractor) to whom the *Testing* Authority has delegated or sub-contracted such responsibility (provided that the *Testing* Authority always remains ultimately responsible under the *UCI ADR* for compliance with the requirements of the *UCI* TIR 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:

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

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

***Sample* Collection Session:** All of the sequential activities that directly involve the *Rider* from the point that initial contact is made until the *Rider* leaves the *Doping Control* Station after having provided 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 *Riders* on a collective basis as part of a team (e.g., training, travelling, tactical sessions) or under the supervision of the team (e.g., treatment by a team doctor).

Test Distribution Plan: A document written by the *UCI* that plans *Testing* on *Riders* over whom it has *Testing* Authority, in accordance with the requirements of Article 4 of the *UCI* TIR.

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

Unsuccessful Attempt Report: A detailed report of an unsuccessful attempt to collect a *Sample* from an *Rider* 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 *Rider* (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 a *Rider* in a *Registered Testing Pool* that sets out the *Rider's* whereabouts during the following quarter, in accordance with Article 5.3 of the *UCI TIR*.

Witness: *Sample* Collection Personnel authorized to Witness the passing of a urine *Sample.*

[Comment: For avoidance of doubt, a Chaperone is not allowed to be a Witness**.***]*

3.3 Interpretation:

3.3.1 Unless otherwise specified, references below to Articles are references to Articles of the *UCI TIR*.

3.3.2 The comments annotating various provisions of the *UCI TIR* shall be used to interpret the *UCI TIR.*

3.3.3 The Annexes to the *UCI* TIR have the same mandatory status as the rest of the *UCI* TIR.

3.3.4 The official text of the *UCI* TIR shall be maintained by the *UCI* and shall be published in English and French. In the *Event* of any conflict between the English and French versions, the English version shall prevail.

PART TWO: STANDARDS FOR *TESTING*

4.0 Planning effective *Testing*

4.1 Objective

4.1.1 In furtherance of *UCI ADR* Article 5.4, the *UCI* shall plan and implement intelligent *Testing* that is proportionate to the risk of doping among *Riders* under its jurisdiction, and that is effective to detect and to deter such practices. The objective of this Section 4 of the *UCI TIR* is to set out the steps that are necessary to produce a Test Distribution Plan that satisfies this requirement. This includes establishing the overall pool of *Riders* within the *UCI's* anti-doping program, and assessment of which *Prohibited Substances* and *Prohibited Methods* are most likely to be abused in the cycling disciplines, followed by appropriate prioritization between the disciplines, between categories of *Riders*, between types of *Testing*, between types of *Samples* collected, and between types of *Sample* analysis.

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

4.1.3 The *UCI* shall document its Test Distribution Plan and shall file that Test Distribution Plan with *WADA* (a) when seeking *WADA's* approval pursuant to *UCI ADR* Article 6.4.2 to analyse *Samples* using a less extensive menu than that set out in the Technical Document referenced at *UCI ADR* Article 6.4. in accordance with Article 4.7.1 of this *UCI TIR*; and (b) where requested by *WADA*, as part of the process of demonstrating the *UCI's* satisfaction of the requirements of *Code* Article 5.4.

4.1.4 The main activities are therefore risk assessment and prioritization, including information and intelligence gathering, monitoring and follow-up; developing a Test Distribution Plan based on that risk assessment and prioritization; filing and discussing that Test Distribution Plan with *WADA* (where applicable); monitoring, evaluating, reviewing, modifying and updating that Test Distribution Plan as necessary in light of changing circumstances; and implementing the Test Distribution Plan.

4.2 Risk assessment

4.2.1 As set out in *UCI ADR* Article 5.4, the starting point of the Test Distribution Plan must be a considered assessment, in good faith, of which *Prohibited Substances* and/or *Prohibited Methods* are most likely to be abused in the sport of cycling and its disciplines in question. This assessment should take into account (at a minimum) the following information:

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

b) The possible performance-enhancing effects that doping may elicit in sport of cycling/its disciplines;

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

d) The history of doping in the sport of cycling/its disciplines;

e) Available research on doping trends (e.g., peer-reviewed articles);

f) Information received/intelligence developed on possible doping practices in the sport (e.g., *Riders'* testimony; information from criminal investigations; and/or other intelligence developed in accordance with *WADA's* Guidelines for Coordinating Investigations and Sharing Anti-Doping Information and Evidence)in accordance with Section 11 of the *UCI TIR*; and

g) The outcomes of previous test distribution planning cycles.

4.2.2 In developing its Test Distribution Plan, the *UCI* shall be bound by the *UCI ADR* Article 5.4.1 and 6.4. Additionally, the *UCI* shall conduct its own risk assessment. It should take into account in good faith any risk assessment for the sport or discipline in question carried out by another *Anti-Doping Organization* with overlapping *Testing* Authority. However, the *UCI* is not bound by a *National Anti-Doping Organization's* assessment of the risks of doping in the sport of cycling or its disciplines, and a *National Anti-Doping Organization* is not bound by the *UCI*'s assessment of the risks of doping in the sport of cycling or its disciplines

4.2.3 The *UCI* shall also consider the potential doping patterns in the sport of cycling, nation or *Event* (as applicable). This shall include assessing matters such as:

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

b) at what points in his/her career in the sport the *Rider* would be most likely to consider obtaining such an illicit advantage; and

c) given the structure of the season for the sport of cycling or its disciplines in question (including standard *Competition* schedules and training patterns), at what time(s) during the year the *Rider* would be most likely to undertake doping practices.

4.2.4 All of the remaining steps to be taken in developing a Test Distribution Plan (as set out in the rest of this Section 4 below) are to be based on the risk assessment set out in this Article 4.2. The *UCI* must be able to demonstrate to *WADA's* satisfaction that it has made a proper assessment of the relevant risks and has adopted an appropriate Test Distribution Plan based on the results of that assessment.

4.2.5 Test Distribution Planning is intended to be an ongoing process, not a static one. The *UCI* shall review the Test Distribution Plan regularly and shall adapt it as necessary to reflect new information gathered and intelligence developed by the *UCI*, and to take into account *Testing* conducted by other *Anti-*

Doping Organizations. However, any revision to the risk assessment set out in the Technical Document referenced in *UCI ADR* Article 6.4 would have to be agreed by *WADA*.

4.3 Establishing the overall pool of *Riders*

4.3.1 In recognition of the finite resources of *Anti-Doping Organizations*, the *UCI* ADR definition of *"Rider"* allows the *UCI* to focus its anti-doping program (including *Testing*) on those who compete regularly at the international level (i.e., *International-Level Riders*, as defined in the *UCI ADR*).

> *[Comment: Nothing prEvents the UCI from Testing a Rider under its jurisdiction who is not an International-Level Rider, if it sees fit, e.g., where he/she is competing in an International Event. Furthermore, as set out in the UCI ADR definition of "Rider", a National Anti-Doping Organization may decide to extend its anti-doping program (including Testing) to sportsmen and women who compete below national level. However, the main focus of the UCI's Test Distribution Plan should be International-Level Riders, and the main focus of a National Anti-Doping Organization's Test Distribution Plan should be National-Level Riders and above.]*

4.3.2 Therefore, once the risk assessment described in Article 4.2 is completed, the next step is to establish the overall pool of *Riders* who are in principle going to be subject to *Testing* by the *UCI*, fixing an appropriate definition of *International-Level Rider*.

4.4 Prioritizing between disciplines

4.4.1 Next, the *UCI* should consider whether there are any factors warranting allocating *Testing* resources to the respective disciplines or nation (as applicable) under its jurisdiction in priority to others. This means assessing the relative risks of doping as between the different disciplines and nations within its sport.

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

4.5 Prioritizing between different *Riders*

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

[Comment to 4.5.1: Target Testing is a priority because random Testing, or even weighted random Testing, does not ensure that all of the appropriate Athletes

will be tested enough. The UCI ADR does not impose any reasonable suspicion or probable cause requirement for Target Testing. However, Target Testing should not be used for any purpose other than legitimate Doping Control.]

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

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

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

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

4.5.3 The relevant factors to determining who should be made the subject of *Target Testing* are likely to include some or all of the following *Rider's* behaviours/factors indicating possible doping/increased risk of doping:

a) prior anti-doping rule violations/test history, including any abnormal biological parameters (blood parameters, steroid profiles, etc);

b) sport performance history, including in particular sudden major improvements in performance, and/or sustained high performance without a commensurate *Testing* record;

c) repeated Failure to Comply with whereabouts requirements;

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

e) moving to or training in a remote location;

f) withdrawal or absence from expected *Competition*;

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

h) injury;

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

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

k) reliable information from a third party, or intelligence developed by or shared with the *UCI* in accordance with Section 11 of the *UCI* TIR.

4.5.4 *Testing* which is not *Target Testing* shall be determined by Random Selection, which shall be conducted using a documented system for such

selection. Random Selection may be either completely random (where no pre-determined criteria are considered, and *Riders* are chosen arbitrarily from a list or pool of *Riders'* names), or weighted (where *Riders* are ranked using pre-determined criteria in order to increase or decrease the chances of selection). Random Selection that is weighted shall be conducted according to defined criteria, and may take into account the factors listed in Article 4.5.3 (as applicable) in order to ensure that a greater percentage of 'at risk' *Riders* is selected.

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

4.6 Prioritizing between different types of *Testing*

4.6.1 Based on the risk assessment and prioritization process described in Articles 4.2 to 4.5, the *UCI* must determine to what extent each of the following types of *Testing* is required in order to detect and deter doping practices within the relevant disciplines and/or nations intelligently and effectively:

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

b) *Testing* of urine;

c) *Testing* of blood; and

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

4.6.2 Save in exceptional and justifiable circumstances, all *Testing* shall be No Advance Notice *Testing*:

a) For *In-Competition Testing*, placeholder selection may be known in advance. However, random *Rider*/placeholder selection shall not be revealed to the *Rider* until notification.

b) All *Out-of-Competition Testing* shall be No Advance Notice *Testing* save in exceptional and justifiable circumstances.

4.6.3 In order to ensure that *Testing* is conducted on a No Advance Notice *Testing* basis, the *UCI* (and the *Sample* Collection Authority, if different) shall ensure that *Rider* selection decisions are only disclosed in advance of *Testing* to those who need to know in order for such *Testing* to be conducted.

4.7 *Sample* analysis

4.7.1 *The UCI* shall ask laboratories to analyze the *Samples* they have collected in a manner that is tailored to the particular circumstances of the discipline/country in question. In accordance with *UCI ADR* Article 6.4, the starting-point is that *the UCI* shall have all *Samples* collected on its behalf analyzed in accordance with the *Sample* analysis menus specified in the Technical Document referenced at *UCI ADR* Article 6.4; but (a) the *UCI* may always ask laboratories to analyze its *Samples* using more extensive menus than those described in the Technical Document; and (b) the *UCI* may also ask laboratories to analyze some or all of its *Samples* using less extensive menus than those described in the Technical Document where the *UCI* has satisfied *WADA* that, because of the particular circumstances of its sport or discipline or nation (as applicable), as set out in the Test Distribution Plan, less extensive analysis would be appropriate.

4.7.2 *WADA* will approve the analysis of *Samples* for less than the *Sample* analysis menu specified in the Technical Document where it is satisfied that such an approach will lead to the most intelligent, effective and efficient use of available *Testing* resources.

4.7.3 The *UCI* shall 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 *UCI ADR* Article 6.5. Such strategy shall comply with the requirements of the International Standard for Laboratories and the International Standard for the Protection of Privacy and Personal Information, and shall take into account the purposes of analysis of *Samples* set out in *UCI ADR* Article 6.2, as well as (without limitation) the following elements:

a) Laboratory recommendations;

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

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

d) *Samples* collected from *Riders* meeting some or all of the 'high risk' criteria set out at Article 4.5.

4.8 Collecting whereabouts information

4.8.1 Whereabouts information is not an end in itself, but rather simply a means to an end, namely the efficient and effective conduct of No Advance Notice *Testing*. Therefore, where the *UCI* has determined that it needs to conduct *Testing* (including *Out-of-Competition Testing*) on particular *Riders*, it must then consider how much information it needs about the whereabouts of those *Riders* in order to conduct that *Testing* effectively and with no advance notice. The *UCI* must collect all of the whereabouts information that it needs to conduct the *Testing* identified in its Test Distribution Plan effectively and efficiently. It must not collect more whereabouts information than it needs for that purpose.

4.8.2 The *UCI* may determine that it needs more whereabouts information in respect of certain categories of *Rider* than others. It should consider adopting a 'pyramid approach', based on the risk assessment and prioritizing exercises set out at Articles 4.2-4.5. According to this approach, *Riders* are put into different tiers, depending on the priority that is placed on *Testing* those *Riders*. The *UCI* should determine, in the case of each tier of *Riders*, how much whereabouts information it needs in order to conduct the amount of *Testing* allocated to those *Riders* in the Test Distribution Plan effectively and efficiently.

4.8.3 Where *ADAMS* is used to collect whereabouts information from *Riders* in the *RTP*, then the names of those *Riders* will automatically be available to *WADA* and other relevant *Anti-Doping Organizations*, as required under *UCI ADR* Article 5.6. Otherwise, however, to comply with *UCI ADR* Article 5.6, the *UCI* shall make available, through the *UCI Website,* a list which identifies those *Riders* included in its *RTP* either by name or by clearly defined, specific criteria.

4.8.4 The *UCI* shall regularly review and update as necessary its criteria for including *Riders* in its *RTP*, to ensure that they remain fit for purpose, i.e., they are capturing all appropriate *Riders*. It should take into account the *Competition* calendar for the relevant period. For example, it may be appropriate to change or increase the number of *Riders* in the *Registered Testing Pool* in the lead-up to an Olympic or Paralympic Games or a World Championship.

4.8.5 In addition, the *UCI* shall periodically review the list of *Riders* in its *RTP* to ensure that each listed *Rider* continues to meet the relevant criteria. *Riders* who no longer meet the criteria should be removed from the *RTP* and *Riders* who now meet the criteria should be added to the *RTP*. The *UCI* must advise such *Riders* of the change in their status, and make a new list of *Riders* in the *RTP* available in accordance with *UCI ADR* Article 5.6, without delay.

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

a) if they are in a *Registered Testing Pool* then the *Major Event Organization* may access their Whereabouts Filings for the relevant period in order to conduct *Testing* on them;

b) if they are not in a *Registered Testing Pool* then the *Major Event Organization* may adopt *Event*-specific rules requiring them to provide such information about their whereabouts for the relevant period as it deems necessary and proportionate in order to conduct *Testing* on them.

4.9 Co-ordinating with other *Anti-Doping Organizations*

4.9.1 *The UCI* shall coordinate their *Testing* efforts with the efforts of other *Anti-Doping Organizations* with overlapping *Testing* Authority, in order to maximise the effectiveness of those combined efforts and to avoid unnecessarily repetitive *Testing* of particular *Riders.* In particular:

a) *Anti-Doping Organizations* shall consult with other relevant *Anti-Doping Organizations* in order to coordinate *Testing* activities and to avoid duplication. Clear agreement on roles and responsibilities for

Event Testing shall be agreed in advance in accordance with *UCI ADR* Article 5.3. Where such agreement is not possible, *WADA* will resolve the matter in accordance with the principles set out at Annex I – *Event Testing*.

b) *Anti-Doping Organizations* shall, without any unnecessary delay, share information on their completed *Testing* with other relevant *Anti-Doping Organizations*, via *ADAMS* or any other system approved by *WADA*.

4.9.2 *The UCI* may contract other *Anti-Doping Organizations* or third parties to act as *Sample* Collection Authorities on its behalf. In the terms of the contract, the UCI (which, for these purposes, is the *Testing* Authority) may specify how any discretion afforded to a *Sample* Collection Authority under the *UCI TIR* is to be exercised by the *Sample* Collection Authority when collecting *Samples* on behalf of the UCI.

4.9.3 *The UCI* should consult and coordinate with other *Anti-Doping Organizations*, with *WADA*, and with law enforcement and other relevant authorities, in obtaining, developing and sharing information and intelligence that can be useful in informing Test Distribution Planning, in accordance with Section 11 of the *UCI TIR*.

PART THREE: WHEREABOUTS REQUIREMENTS

5.0 Whereabouts requirements

5.1 Introduction

In furtherance of *UCI ADR* Article 5.6, the *Rider* who is in the *UCI RTP* shall provide Whereabouts Filing in compliance with the requirements described in Article 5.3 and shall abide by the obligations stemming from the inclusion in the *UCI RTP*.

5.2 Entering and leaving a ***Registered Testing Pool***

5.2.1 The *UCI* shall notify each *Rider* designated for inclusion in its *RTP* of the following:

a) the fact that he/she has been included in its *RTP;*

b) the whereabouts requirements with which he/she must therefore comply; and

c) the *Consequences* if he/she fails to comply with those whereabouts requirements.

5.2.2. If the *Rider* is included in both the *UCI RTP* andin the *National Anti-Doping Organization RTP* (or in the *RTP* of more than one *National Anti-Doping Organization* or more than one International Federation), then each of them shall notify the *Rider* that he/she is in its pool. Prior to doing so, however, they must agree between themselves which of them the *Rider* should provide his/her Whereabouts Filing to, and each notice sent to the *Rider* should specify that he/she should provide his/her Whereabouts Filings to that *Anti-Doping Organization* only. The *Rider* shall file his Whereabouts Filing and abide by the obligations stemming for the *RTP* inclusion in accordance with the rules and instructions of the *Anti-Doping Organization* with whom he files his information. In all cases, the *Rider* must not be asked to provide Whereabouts Filing to more than one *Anti-Doping Organization*.

The *Anti-Doping Organization* responsible for receiving the *Rider*'s Whereabouts Filing will then share the *Rider*'s information with the *Anti-Doping Organization*(s) who has included the *Rider* in its *RTP* and for any other *Anti-Doping Organizations* having *Testing* jurisdiction over the *Rider.*

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

5.2.3 A *Rider* who has been included in the *UCI RTP* shall continue to be subject to the *UCI ADR* Article 5.6 Whereabouts Requirements, including the obligation to provide up-to-date Whereabouts Filing, unless and until:

a) he/she has been given written notice by the UCI that he/she is no longer designated for inclusion in the UCI's RTP;

b) he/she gives written notice of his/her retirement to the UCI.

[Comment: For avoidance of doubt, removal of a Rider from the UCI's RTP in accordance with Article 5.2.3 has no bearing on the Rider's inclusion in any other National Anti-Doping Organisation or other International Federation RTP. Same applies if Rider is excluded from another Anti-Doping Organization's RTP and not from the UCI's. The Rider remains bound by such inclusion(s) as per such Anti-Doping Organisation's rules and instructions.]

5.3 Whereabouts Filing Requirements

5.3.1 The *Rider* in the *UCI RTP* shall file, within the deadline set by the *UCI*, quarterly Whereabouts Filing that provide accurate and complete information about the *Rider's* whereabouts during the forthcoming quarter, which shall comply with the instructions provided by the *UCI*. A failure to do so may be declared a Filing Failure. The Whereabouts Filing shall contain at least the following information:

a) a complete mailing address where correspondence may be sent to the *Rider* for formal notice purposes. Any notice or other item mailed to that address will be deemed to have been received by the *Rider* five working days after it was deposited in the mail;

b) an email address where correspondence may be sent to the *Rider;*

c) at least one designated daily phone number that the *UCI* may use, if necessary, to reach the *Rider* at any time for *Testing* and notice purposes;

d) details of any impairment of the *Rider* that may affect the procedure to be followed in conducting a *Sample* Collection Session;

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

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

g) the *Rider's Competition* schedule for the following quarter, including the name and address of each location where the *Rider* is scheduled to compete during the quarter and the date(s) on which he/she is scheduled to compete at such location(s);

h) the *Rider*'s travel schedule;

i) Any additional information deemed necessary to enable any *Anti-Doping Organization* wishing to locate the *Rider* for *Testing;* and

j) One daily specific 60-minute time slot between 5am and 11pm as detailed in Article 5.3.2.

5.3.2 In furtherance of Article 5.3.1.i), the Whereabouts Filing must also include, for each day during the following quarter, one specific 60-minute time slot between 5 a.m. and 11 p.m. where the *Rider* will be available and accessible for *Testing* at a specific location. This does not limit in any way the *Rider's UCI ADR* Article 5.2 obligation to submit to *Testing* at any time and place upon request by an *Anti-Doping Organization* with *Testing* Authority over him/her. Nor does it limit his/her obligation to provide the information specified in Articles 5.3.1, 5.3.3 and 5.3.4 as to his/her whereabouts outside that 60-minute time slot. However, if the *Rider* is not available for *Testing* at such location during the 60-minute time slot specified for that day in his/her Whereabouts Filing, that failure may be declared a Missed Test.

5.3.3 It is the *Rider'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 *Rider* for *Testing* on any given day in the quarter at the times and locations specified by the *Rider* 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 *Rider* must provide sufficient information to enable the DCO to find the location, to gain access to the location, and to find the *Rider* at the location. Where the *Rider* does not know precisely what his/her whereabouts will be at all times during the forthcoming quarter, he/she must provide his/her best information, based on where he/she expects to be at the relevant times, and then update that information as necessary in accordance with Article 5.3.4.

A failure to do so may be pursued as a Filing Failure or a Missed Test and/or (if the circumstances so warrant) as evasion of *Sample* collection under *UCI ADR* Article 2.3, and/or *Tampering* or *Attempted Tampering* with *Doping Control* under *UCI ADR* Article 2.5. It shall not be a defence to an allegation of a Filing Failure or a Missed Test or an anti-doping rule violation under *UCI ADR* Article 2.3 and/or 2.5 that the *UCI* could have detected the inaccuracy or incompleteness of the Whereabouts Filings before conducting the *Test*.

[Comment: For example, specifying a location that the DCO cannot access (e.g., a "restricted-access" building or area) is likely to result in a Filing Failure. The UCI may be able to determine the insufficiency of the information from the Whereabouts Filing itself, or alternatively it may only discover the insufficiency of the information when it attempts to test the Rider and is unable to locate him/her. In either case, the matter should be pursued as an apparent Filing Failure or Missed Test, and/or (where the circumstances warrant) as an evasion of Sample collection under UCI ADR Article 2.3, and/or as Tampering or Attempting to Tamper with Doping Control under UCI ADR Article 2.5.]

5.3.4 Where a change in circumstances means that the information in a Whereabouts Filing is no longer accurate or complete, the *Rider* must file an update so that the information on file is again accurate and complete. In particular, the *Rider* must always update his/her Whereabouts Filing to reflect any change in any day in the quarter in question (a) in the time or location of the 60-minute time slot specified in Article 5.3.2; and/or (b) in the place where he/she is staying overnight. The *Rider* 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 or Missed Test and/or (if the circumstances so warrant) as evasion of *Sample* collection under *UCI ADR* Article 2.3, and/or *Tampering* or *Attempted Tampering* with *Doping Control* under *UCI ADR* Article 2.5.

[Comment: For the avoidance of doubt, the Rider who updates his/her 60-minute time slot for a particular day prior to the original 60-minute slot must still submit to Testing during the original 60-minute time slot, if he/she is located for Testing during that time slot.]

5.3.5 The *Rider* may choose to delegate the task of making his/her Whereabouts Filings (and/or any updates thereto) to a third party. In all cases, however:

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

b) such *Rider* remains personally responsible at all times for ensuring he/she is available for *Testing* at the whereabouts declared on his/her Whereabouts Filings. It shall not be a defence to an allegation of a Missed Test that the *Rider* delegated responsibility for filing his/her whereabouts information for the relevant period to a third party and that third party failed to file the correct information or failed to update previously-filed information so as to ensure that the whereabouts information in the Whereabouts Filing for the day in question was current and accurate.

[Comment: For example, if an attempt to test a Rider during a 60-minute time slot designated within a particular Team Activity period is unsuccessful due to a team official filing the wrong information in relation to the Team Activity, or failing to update previously-filed information where the details of the Team Activity have subsequently changed, the Rider himself/herself will still be liable for a Whereabouts Failure. This must be the case because if a Rider would be able to pass on the blame to his/her team if he/she is not available for Testing at a location declared by his/her team, then he/she will be able to avoid accountability for his/her whereabouts for Testing.]

5.4 Conditions to Declare a Filing Failure

5.4.1 A *Rider* may only be declared to have committed a Filing Failure where the Results Management Authority for whereabouts purposes establishes each of the following:

a) that the *Rider* was duly notified in accordance with Article 5.1.2;

b) that the *Rider* failed to comply with the requirements as provided for in 5.3.;

[Comment: The Rider fails to comply with the requirement to make Whereabouts Filings (i) where he/she does not make any such filing, or where he/she fails to update the filing as required by Article 5.3.4; or (ii) where he/she makes the filing or update but does not include all of the required information in that filing or update (e.g. he/she does not include the place where he/she will be staying overnight for each day in the following quarter, or for each day covered by the update, or omits to declare a regular activity that he/she will be pursuing during the quarter, or during the period covered by the update); or (iii) where he/she includes information in the original filing or the update that is inaccurate (e.g., an address that does not exist) or insufficient to enable the Anti-Doping Organization to locate him/her for Testing.]

c) (in the case of a subsequent (second or third) Filing Failure):

i. that the *Rider* was given notice, in accordance with Article 5.7.2.1 of the previous Filing Failure (or Missed Test if the Whereabouts Filing deficiencies which caused the previous Missed Test are related to this subsequent Filing Failure at hand); and/or

ii. if the previous Filing Failure revealed deficiencies in the Whereabouts Filing that would lead to further Filing Failures if not rectified, that the *Rider* 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 and yet failed to rectify that Filing Failure by the deadline specified in the notice; and

[Comment: The requirement is to give the Rider notice of the first Filing Failure (or Missed Test if the Whereabouts Filing deficiencies which caused the previous Missed Test are related to this subsequent Filing Failure at hand) and an opportunity to avoid a subsequent one, before a subsequent Filing Failure may be pursued against him/her. But that is all that is required. In particular, it is not necessary to complete the results management process with respect to the first Whereabouts Failure before pursuing a second Filing Failure against the Rider.]

d) that the *Rider's* Failure to Comply was at least negligent. For these purposes, the *Rider* 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 *Rider* establishing that no negligent behaviour on his/her part caused or contributed to the failure.

5.4.2 For the purpose of determining whether a Filing Failure occurred within the 12-month period referred to in *UCI ADR* Article 2.4, a Filing Failure will be deemed to have occurred on the first day of the quarter for which the *Rider* fails to make a (sufficient) filing in accordance with Article 5.3 or; on the date he/she failed to comply with other requirements as provided for in Article 5.3 and following.

5.5 Availability for *Testing*

5.5.1 While *UCI ADR* Article 5.2 specifies that every *Rider* must submit to *Testing* at any time and place upon request by an *Anti-Doping Organization* with *Testing* jurisdiction over him/her, in addition a *Rider* in a *RTP* shall specifically be present and available for *Testing* on any given day during the 60-minute time slot specified for that day in his/her Whereabouts Filing, at the location that the *Rider* has specified for that time slot in such filing. A Failure to Comply with this requirement shall be pursued as an apparent Missed Test. If the *Rider* is tested during such a time slot, the *Rider* must remain with the DCO until the *Sample* collection has been completed, even if this takes longer than the 60-minute time slot. A failure to do so shall be pursued as an apparent violation of *UCI ADR* Article 2.3 (refusal or failure to submit to *Sample* collection).

5.6 Conditions to Declare a Missed Test

5.6.1 A *Rider* may only be declared to have committed a Missed Test where the Results Management Authority for whereabouts purposes can establish each of the following:

a) that the *Rider* was duly notified in accordance with Article 5.1.2;

b) that a DCO attempted to test the *Rider* on a given day in the quarter, during the 60-minute time slot specified in the *Rider's* Whereabouts Filing for that day, by visiting the location specified for that time slot;

[Comment: If the Rider is not available for Testing at the beginning of the 60-minute time slot, but becomes available for Testing later on in the 60-minute time slot, the DCO should collect the Sample and should not process the attempt as an unsuccessful attempt to test, but should include full details of the delay in availability of the Rider in the mission report. Any pattern of behaviour of this type should be investigated as a possible anti-doping rule violation under UCI ADR Article 2.3 and/or Article 2.5.

If a Rider is not available for Testing during his/her specified 60-minute time slot at the location specified for that time slot for that day, he/she will be liable for a Missed Test even if he/she is located later that day and a Sample is successfully collected from him/her.]

c) 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 *Rider*, short of giving the *Rider* any advance notice of the test;

d) (in the case of a (subsequent) second or third Missed Test):

i. that the *Rider* was given notice, in accordance with Article 5.7.2.1 of the previous Missed Test (or Filing Failure if the Whereabouts Filing deficiencies which caused the previous Filing Failure are related to this subsequent unsuccessful attempt at hand).

[Comment: For avoidance of doubt, this requirement applies to any subsequent unsuccessful attempt regardless which Anti-Doping Organization conducted the attempt.

Furthermore, this requirement is to give the Rider notice of the first Missed Test (or Filing Failure if the Whereabouts Filing deficiencies which caused the previous Filing Failure are related to this subsequent unsuccessful attempt at hand) and an opportunity to avoid a subsequent one, before a subsequent Missed Test may be pursued against him/her. But that is all that is required. In particular, it is not necessary to complete the results management process with respect to the first Whereabouts Failure before pursuing a second Missed Test against the Rider.]

e) that the *Rider'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 *Rider* will be presumed to have been negligent upon proof of the matters set out at sub-Articles 5.6.1(a) to (d). That presumption may only be rebutted by the *Rider* 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.

5.6.2 For the purpose of determining whether a Missed Test occurred within the 12-month period referred to in *UCI ADR* Article 2.4, the Missed Test will be deemed to have occurred on the date that the *Sample* collection was unsuccessfully attempted.

5.7 Results Management of Whereabouts Failures

[Comment: As provided for in Article 5.10, the UCI or the Anti-Doping Organization(s) may delegate to one another the results management of Whereabouts Failures. Therefore, the attribution of the Results Management Authority for Whereabouts purposes can be different than what is provided for in Article 5.7. The rules of the Results Management of all Anti-Doping Organizations are expected to comply with the International Standard for Testing and Investigation and should not deviate substantially from this section. However, differences both in rules may exist.]

5.7.1 Results Management Authority for Whereabouts Purposes

5.7.1.1 In accordance with *UCI ADR* Articles 7.1.2 and 7.6, the *UCI* is the Results Management Authority for Whereabouts purposes for Whereabouts Failures committed by the *Rider* who files his Whereabouts Filing with the *UCI*. The

management of these Whereabouts Failures shall be governed by the *UCI TIR* and *UCI ADR*.

For the *Rider* who files his Whereabouts Filing with another *Anti-Doping Organization* in accordance with Article 5.2.2, the Results Management Authority for whereabouts purposes is that other *Anti-Doping Organization*. The management of those Whereabouts Failures shall be governed by the rules of that *Anti-Doping Organization*.

> *[Comment: To avoid delays in the results management, when the Anti-Doping Organization who uncovers the Whereabouts Failures is different from the Results Management Authority for whereabouts purposes, the former shall provide the Unsuccessful Attempt Report and/or other relevant information to the Results Management Authority for whereabouts purposes without delay, and thereafter it shall assist the Results Management Authority for whereabouts purposes as necessary in obtaining information from the DCO or other Sample collection personnel in relation to the apparent Whereabouts Failure.]*

5.7.1.2 When the *UCI* delegates to another *Anti-Doping Organization* the results management of Whereabouts Failures, the management of the Whereabouts Failure at hand shall be governed by the rules of the organisation who actually handles the results management.

5.7.1.3 Pursuant to Article 5.7.1.2, the Whereabouts Failure declared by the other *Anti-Doping Organization* shall be recognized by the *UCI* provided it has been declared in compliance with the applicable requirements of the *International Standard for Testing and Investigation*.

> *[Comment: If an Anti-Doping Organization who is Results Management Authority for whereabouts purposes removes the Rider from its RTP after recording one or two Whereabouts Failures against him/her, then if the Rider remains in (or is put in) another Anti-Doping Organization RTP, and that other Anti-Doping Organization starts receiving his/her Whereabouts Filings, then that other Anti-Doping Organization becomes the Results Management Authority for whereabouts purposes in respect of all Whereabouts Failures by that Rider, including those recorded by the first Anti-Doping Organization. In that case, the first Anti-Doping Organization shall provide the second Anti-Doping Organization with full information about the Whereabouts Failure(s) recorded by the first Anti-Doping Organization in the relevant period, so that if the second Anti-Doping Organization records any further Whereabouts Failure(s) against that Rider, it has all the information it needs to bring proceedings against him/her for violation of UCI ADR Article 2.4.]*

5.7.2 Results Management

5.7.2.1 When the *UCI* concludes that all of the relevant requirements have been met to declare a Whereabouts Failure, it notifies the *Rider* inviting a response within a reasonable deadline of receipt of the notice.

5.7.2.2 If the *Rider* does not respond within the specified deadline, the *UCI* notifies the *Rider* that the alleged Whereabouts Failure is to be recorded against him/her.

5.7.2.3 If the *Rider* responds within the deadline, the *UCI* considers whether his/her response changes its original decision that all of the requirements for recording a Whereabouts Failure have been met. If the *UCI* maintains, notwithstanding the *Rider'*s response, that there has been a Whereabouts Failure, the *UCI* notifies the *Rider* that the alleged Whereabouts Failure is to be recorded against him/her.

5.7.2.4 If the *UCI* finds that not all the requirements for recording a Whereabouts Failure have been met, the *UCI* notifies the *Rider* that the *UCI* will not pursue the alleged Whereabouts Failure any further.

5.7.2.5 In the notice about the *UCI*'s decision that the Whereabouts Failure is to be recorded, the *UCI* advises the *Rider* that he/she has the right to request an administrative review of that decision within a specified deadline.

5.7.2.6 If the *Rider* does not request an administrative review within the specified deadline, the Whereabouts Failure is recorded against the *Rider* without further notice.

5.7.2.7 If the *Rider* requests an administrative review within the specified deadline, it shall be carried out, based on written submissions only, by one or more persons not previously involved in the assessment of the apparent Whereabouts Failure. The purpose of the administrative review is to determine anew whether or not all of the relevant requirements for recording a Whereabouts Failure are met.

5.7.2.8 If the conclusion following the administrative review is that all of the requirements for recording a Whereabouts Failure are not met, the *UCI* notifies the *Rider* that the Whereabouts Failure will not be recorded against him/her by the *UCI*.

If the conclusion is that all of the requirements for recording a Whereabouts Failure are met, the *UCI* shall record the Whereabouts Failure against the *Rider* and shall notify the *Rider* thereof.

5.7.2.9 If a new fact is revealed of a nature which might alter the decisions issued by the *UCI* or the *Person*(s) in charge of the administrative review in the scope of Article 5.7.2., such new fact may be taken into consideration and the decision may be reviewed. In all cases, the *Rider* will be notified thereof in due time.

5.8 Reporting

5.8.1 The *UCI* shall advise *WADA*, the *National Anti-Doping Organization(s)* and the *Anti-Doping Organization* that uncovered the alleged Whereabouts Failure (as applicable) of the decision according to which:

a) not all the requirements to bring forward an alleged Whereabouts Failure have been met;

b) not to record the alleged Whereabouts Failure in accordance with Article 5.7.2.4.); and

c) the conclusion following the administrative review that not all of the requirements for recording a Whereabouts Failure have been met.

The *UCI* will give reasons for the aforementioned decisions to *WADA*, the *National Anti-Doping Organization(s)* and the *Anti-Doping Organization* that uncovered the alleged Whereabouts Failure (as applicable). Each of them, exclusively, shall have a right of appeal against the aforementioned decisions in accordance with *UCI ADR* Article 13.

5.8.2 The *UCI* shall report a decision to record a Whereabouts Failure against the *Rider* to *WADA* and all other relevant *Anti-Doping Organizations*, on a confidential basis, via *ADAMS* or other system approved by *WADA.*

[Comment: For the avoidance of doubt, the Results Management Authority for whereabouts purpose is entitled to notify other relevant Anti-Doping Organizations (on a strictly confidential basis) of the apparent Whereabouts Failure at an earlier stage of the results management process, where it considers it appropriate (for test planning purposes or otherwise).

5.9 Disciplinary Proceedings – *UCI* ADR Article 2.4

5.9.1 Three Whereabouts Failures by a *Rider* within any 12-month period amount to an anti-doping rule violation under *UCI ADR* Article 2.4. The Whereabouts Failures may be any combination of Filing Failures and/or Missed Tests declared in accordance with the *UCI TIR* requirements and adding up to three in total.

[Comment: While a single Whereabouts Failure will not amount to an anti-doping rule violation under UCI ADR Article 2.4, depending on the facts it could amount to an anti-doping rule violation under UCI ADR Article 2.3 (Evading Sample Collection) and/or UCI ADR Article 2.5 (Tampering or Attempted Tampering with Doping Control).]

5.9.2 The 12-month period referred to in *UCI ADR* Article 2.4 starts to run on the date that a *Rider* commits the first Whereabouts Failure being relied upon in support of the allegation of a violation of *UCI ADR* Article 2.4. If two more Whereabouts Failures occur during the ensuing 12-month period, then a *UCI ADR* Article 2.4 anti-doping rule violation is committed, irrespective of any *Samples* successfully collected from the *Rider* during that 12-month period. However, if a *Rider* 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 *UCI ADR* Article 2.4, and a new 12-month period begins to run from the date of his/her next Whereabouts Failure.

[Comment: To give Riders the full benefit of the changes to the 2015 Code (reducing the relevant period under UCI ADR Article 2.4 from 18 months to 12 months), any Whereabouts Failure that occurred prior to 1 January

2015 will "expire" (for purposes of UCI ADR Article 2.4) 12 months after the date of its occurrence.

Where a Rider retires from but then returns to active participation in cycling (i.e. intends on partaking in International Events), his/her period of non-availability for Out-of-Competition Testing shall be disregarded for purposes of calculating the 12-month period referred to in UCI ADR Article 2.4. As a result, Whereabouts Failures committed by the Rider prior to retirement may be combined, for purposes of UCI ADR Article 2.4, with Whereabouts Failures committed by the Rider after he/she again becomes available for Out-of-Competition Testing. For example, if a Rider committed two Whereabouts Failures in the six months prior to his/her retirement, then if he/she commits another Whereabouts Failure in the first six months in which he/she is again available for Out-of-Competition Testing, that amounts to a UCI ADR Article 2.4 anti-doping rule violation.]

5.9.3 Where three Whereabouts Failures are recorded against the *Rider* within any 12-month period, the *Results Management Authority for whereabouts* purposes shall bring proceedings against the *Rider* alleging violation of *UCI ADR* Article 2.4. If the Results Management Authority fails to bring such proceedings against the *Rider* within 30 days of *WADA* receiving notice of the recording of that *Rider's* third Whereabouts Failure in any 12-month period, then the Results Management Authority for Whereabouts purposes shall be deemed to have decided that no anti-doping rule violation was committed, for purposes of triggering the appeal rights set out at *UCI ADR* Article 13.2.

5.9.4 A *Rider* alleged to have committed a *UCI ADR* Article 2.4 anti-doping rule violation shall have the right to have such allegation determined in accordance with *UCI ADR* Article 8. The hearing panel shall not be bound by any determination made during the results management process, whether as to the adequacy of any explanation offered for a Whereabouts Failure or otherwise. Instead, the burden shall be on the *Anti-Doping Organization* bringing the proceedings to establish all of the requisite elements of each alleged Whereabouts Failure to the comfortable satisfaction of the hearing panel. Both *Anti-Doping Organization* and the *Rider* may raise arguments before the hearing panel that were not raised at the stage of the results management process. If the hearing panel decides that one (or two) Whereabouts Failures(s) have been established to the required standard, but that the other alleged Whereabouts Failure(s) has/have not, then no *UCI ADR* Article 2.4 anti-doping rule violation shall be found to have occurred. However, if the *Rider* then commits one (or two, as applicable) further Whereabouts Failure(s) within the relevant 12-month period, new proceedings may be brought based on a combination of the Whereabouts Failure(s) established to the satisfaction of the hearing panel in the previous proceedings and the Whereabouts Failure(s) subsequently committed by the *Rider*.

[Comment: Nothing in Article 5.9.4. is intended to prevent the Anti-Doping Organization challenging an argument raised on the Rider's behalf at the hearing on the basis that it could have been but was not raised at an earlier stage of the results management process.]

5.9.5 A finding that a *Rider* has committed a *UCI ADR* Article 2.4 anti-doping rule violation has the following *Consequences* : (a) imposition of a period of *Ineligibility* in accordance with *UCI ADR* Article 10.3.2 (first violation) or *UCI ADR* Article 10.7 (subsequent violation(s)); and (b) in accordance with *UCI ADR* Article 10.8, *Disqualification* (unless fairness requires otherwise) of all individual results obtained by the *Rider* from the date of the *UCI ADR* Article 2.4 anti-doping rule violation through to the date of commencement of any *Provisional Suspension* or *Ineligibility* period, with all of the resulting *Consequences* , including forfeiture of any medals, points and prizes. For these purposes, the anti-doping rule violation shall be deemed to have occurred on the date of the third Whereabouts Failure found by the hearing panel to have occurred. The impact of any *UCI ADR* Article 2.4 anti-doping rule violation by an individual *Rider* on the results of any team for which that *Rider* has competed with during the relevant period shall be determined in accordance with *UCI ADR* Article 11.

5.10 Responsibilities

5.10.1 Notwithstanding any other provision of this section, the *UCI* may delegate some of its responsibilities regarding whereabouts information to a *Anti-Doping Organization* having included the *Rider* in its *RTP* as well, if that *Anti-Doping Organization* agrees. The *UCI* or the *Anti-Doping Organization* shall inform the *Rider* of such delegation.

The *UCI* may delegate some or all of its responsibilities regarding whereabouts information to the *Rider'*s National Federation. The *UCI* or the *National Federation* shall inform the *Rider* of such delegation.

Where *WADA* determines that the *UCI* or the *Anti-Doping Organization* (as applicable) is not discharging some or all of its whereabouts responsibilities under this section, *WADA* may delegate some or all of *UCI*'s and the *Anti-Doping Organization*'s whereabouts responsibilities to any other appropriate *Anti-Doping Organization*.

> *[Comment: likewise a Anti-Doping Organization may delegate some or all of the responsibilities regarding whereabouts information to the UCI or the Rider's National Federation or other appropriate Anti-Doping Organization with authority over the Rider in question. Where no appropriate National Anti-Doping Organization exists, the National Olympic Committee shall assume the responsibilities of the National Anti-Doping Organization regarding Whereabouts Information.]*

5.10.2 A National Federation must use its best efforts to assist the *UCI* and/or *Anti-Doping Organization* (as applicable) in collecting Whereabouts Filing from *Riders* who are subject to that National Federation's authority, including (without limitation) making special provision in its rules for that purpose.

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

[Comment: For the sake of clarity, this list shall include the precise address of the accommodations and exact room number for each Rider shall be indicated on such list, amongst other.

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

PART FOUR: *TESTING*

[Comment: This section governs Testing initiated by the UCI as per UCI ADR Article 5. The following requirements equally apply to Event Testing as well as Out-of-Competition Testing, where applicable. Riders may also be subject to Testing initiated by other Anti-Doping Organizations with jurisdiction to test under the Code. Testing by other Anti-Doping Organizations is governed by the rules of the respective Anti-Doping Organization. As Anti-Doping Organizations are expected to adopt rules in compliance with the International Standard for Testing and Investigation, the rules covering Testing should not deviate substantially from this Section. However, differences both in rules and on-site practices may exist.]

6.0 Preparing for the *Sample* Collection Session

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

6.1 General

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

6.1.2 In the scope of *Event Testing*, the *UCI* shall appoint and authorise the DCO in accordance with Article 6.1.1.

The organizer shall appoint and authorise the Chaperones and Witnesses to assist with *Sample* Collection Sessions in accordance with Article 6.1.1.

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

The organizer shall ensure the availability of Witnesses of the same gender as the *Riders* who are expected to be called for Urine *Sample Collection*.

The race medical staff shall not be appointed as Witnesses for Urine *Sample Collection.*

6.1.3 If necessary and without prejudice to the responsibility of the National Federation, the DCO may appoint *Sample* Collection Personnel on-site or the DCO may conduct the *Testing* alone, provided he/she appoints, where applicable, a Witness of the same gender as the *Rider*.

6.1.4 The *DCO* shall have official documentation, provided by the *UCI*, evidencing his/her authority to collect a *Sample* from the *Rider*, such as an authorisation letter from the *UCI*. DCOs shall also carry complementary

identification which includes their name and photograph (i.e., identification card from the *UCI*, driver's licence, health card, passport or similar valid identification) and the expiry date of the identification.

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

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

6.2. The National Federations' and Organizers' Responsibilities

6.2.1 The organizer of the *Event* has the overall responsibility for the practical aspects of the organization of the *Event Testing.*

The organizer of the *Event* must ensure that all *Sample* Collection Personnel other than those appointed by the *UCI* and all infrastructure and equipment are available so that *Testing* can be carried out in accordance with the *UCI ADR* and *UCI TIR*.

The National Federation of the organizer of the *Event* must assist the organizer to carry out the practical aspects of Event Testing, if needed. The National Federation remains ultimately responsible for the overall organization of the practical aspects thereof.

6.2.2 Without prejudice to the application of article 12.1.008 of the Cycling Regulations to the organizer, in the *Event* of negligence in the practical organization of the *Event Testing,* the National Federation and the he organizer shall be jointly and severally liable to a fine not exceeding 10'000 CHF. For *Events* which last more than one day, the fine may be multiplied by the number of days for which the negligence continues.

6.2.3 If, as a result of negligence during the practical organization of the *Event Testing,* the DCO appointed by the *UCI* is unable to carry out his mission properly, the National Federation and the organizer shall be jointly and severally liable to refund his expenses.

6.3 Requirements for preparing for the *Sample* Collection Session

6.3.1 The *UCI* shall establish a system for obtaining all the information necessary to ensure that the *Sample* Collection Session can be conducted effectively, including identifying special requirements to meet the needs of *Riders* with impairments (as provided in Annex B – Modifications for *Riders* with Impairments) as well as the needs of *Riders* who are *Minors* (as provided in Annex C – Modifications for *Riders* who are *Minors*).

6.3.2 The *Doping Control* Station shall, at a minimum, ensure the *Riders'* 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.

The *Doping Control Station* shall be located in the immediate vicinity of the finish area. The location must be clearly signposted from the finish line.

The organizer shall protect the entrance of the *Doping Control Station* and prevent access to persons who are not involved in the *Event Testing.*

6.3.3 During the UCI World Championships, a Hot Seat must be available to accommodate the team that has set the best time so far during the Team Time trial. There must also be a Hot Seat for the three *Riders* who have established the best times so far during the Individual Time Trial.

During any other *Event* which includes a Team and/or Individual Time Trial, a Hot Seat must be made available and accommodate one *Rider*.

6.3.4 The *UCI* shall establish criteria for who may be authorized to be present during the *Sample* Collection Session in addition to the *Sample* Collection Personnel. At a minimum, the criteria shall include:

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

b) A *Minor Rider's* entitlement (as provided for in Annex C – Modifications for *Riders* who are *Minors*), and the Witness' entitlement to have a representative observe the Witness when the *Minor Rider* is passing a urine *Sample,* but without the representative directly observing the passing of the *Sample* unless requested to do so by the *Minor Rider*;

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

d) A *WADA* observer where applicable under the *Independent Observer Program*. The *WADA* observer shall not directly observe the passing of a urine *Sample*.

6.3.4 The *UCI* shall only use *Sample* Collection Equipment systems which, at a minimum:

a) Have a unique numbering system incorporated into all bottles, containers, tubes or other items used to seal the *Sample*;

b) Have a sealing system that is tamper-evident;

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

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

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

7.0 NOTIFICATION OF *RIDER*S

7.1 General

Save in exceptional and justifiable circumstances, No Advance Notice *Testing* shall be the method for *Sample* collection.

Notification of *Riders* starts when the *Sample* Collection Authority initiates the notification of the selected *Riders* and ends when the *Riders* arrives at the *Doping Control* Station or when the *Rider's* possible Failure to Comply is brought to the *UCI*'s attention. The main activities are:

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

b) Confirming the *Rider*'s identity;

c) Informing the *Rider* that he/she has been selected to provide a *Sample* and of his/her rights and responsibilities;

d) For No Advance Notice *Testing*, continuously chaperoning the *Rider* from the time of notification to the arrival at the designated *Doping Control* Station; and

e) Documenting the notification, or notification attempt.

7.2 Means of Notification and *Rider*'s Obligations

7.2.1 The *Rider* shall first be notified in *Person* that he/she has been selected for *Sample* collection, except where:

a) Prior contact with a third party is required as specified in Article 7.2.2;

b) Where notification can be done through the *Rider Support Personnel* as provided for in Article 7.2.3;

c) Where the *Rider* has the obligation to consult the List for notification purposes as described in Article 7.2.4 and following.

7.2.2 The *Sample* Collection Authority/DCO/Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification of the *Rider*, when the *Rider* is a *Minor* (as provided for in Annex C – Modifications for *Riders* who are *Minors*), or where required by a *Rider's* impairment (as provided for in Annex B - Modifications for *Riders* with Impairments), or in situations where an interpreter is required and available for the notification.

7.2.3 Whenever the *Rider Support Personnel* is found at the place where the notification was due to take place, the *Rider* may be validly notified via his *Rider Support Personnel*.

For such purpose, especially during stage races and World Championships, *Rider Support Personnel* must always be in a position to indicate where his *Rider*s are in order that they may be contacted as quickly as possible.

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

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

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

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

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

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

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

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

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

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

7.2.8 If a *Rider* foresees that he/she might be prevented from reporting within the time-limit provided for in Article 7.4.1, he/she shall try, by all available means, to inform the DCO.

7.2.9 The *Rider* or, if Article 7.2.3 applies, the *Rider Support Personnel*, shall sign the original notification form. The signature of the *Rider Support Personnel* on the notification form shall bind the *Rider*. If the *Rider* or his *Rider Support Personnel* refuses to sign that he has been notified or evades notification, the *Sample* Collection Personnel shall note this on the form.

7.2.9.1. For the sake of clarity, a notification form in electronic format is deemed valid and sufficient proof of notification and acceptance and produces the same effects as a paper document.

7.3 Requirements for Notification of *Riders*

7.3.1 When initial contact is made, the DCO/Chaperone or other *Sample* Collection Personnel, as applicable, shall ensure that the *Rider* and/or a third party is informed:

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

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

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

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

i. Have a representative and, if available, an interpreter accompany him/her, in accordance with Article 6.3.3(a)

[Comment: The Rider, his attendant and the interpreter and any objects they bring with them may be searched.]

ii. Ask for additional information about the *Sample* collection process;

iii. Request a delay in reporting to the *Doping Control* Station for valid reasons; and

iv. Request modifications as provided for in Annex B – Modifications for *Riders* with Impairments

e) Of the *Rider's* responsibilities, including the requirement to:

i. 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;

[Comment: Rider Support Personnel must not hinder the Chaperone from continuously observing the Rider.]

ii. Produce identification;

a. If deemed appropriate by the DCO, the *Rider* may be asked to provide further identification in due time, including after the *Sample* collection. The *Rider* shall comply with the DCO's instructions to that effect.

b. Failure to provide further identification or confirm the identity of the *Rider* shall be documented and reported to the *UCI,* which shall decide whether it is appropriate to follow up in accordance with Annex A – Investigating a Possible Failure to Comply.

iii. Comply with *Sample* collection procedures (and the *Rider* should be advised of the possible *Consequences* of Failure to Comply or Refusing, namely that such facts may amount to a potential anti-doping rule violation under *UCI ADR* Article 2.3.); and

iv. Report immediately for *Sample* collection and at the latest within 30 (thirty) minutes of finishing the *Event*, unless there are valid reasons for a delay, as determined in accordance with Article 7.4.2.

f) Of the location of the *Doping Control* Station and that once the *Rider* enters the *Doping Control* Station, that he/she shall remain there until the completion of the *Sample* collection procedure, unless authorized by the DCO as provided for in Article 7.4. and under the continuous observation by a Chaperone or other *Sample* Collection Personnel;

g) That should the *Rider* choose to consume food or fluids prior to providing a *Sample,* he/she does so at his/her own risk;

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

i) That any urine *Sample* provided by the *Rider* to the *Sample* Collection Personnel must be the first urine passed by the *Rider* subsequent to notification, i.e. he/she must not pass urine otherwise prior to providing a *Sample* to the *Sample* Collection Personnel. In any case, at no time can the *Rider* shower during the *Sample* Collection Session.

7.3.2 The Chaperone/DCO shall have the *Rider* and/or a third party sign an appropriate form to acknowledge and accept the notification. *Rider* and/or a third party shall be provided with a copy of such form.

The signature of the *Rider* and/or a third party on the notification form shall bind the *Rider*.

If the *Rider* and/or a third party refuses to sign that he/she has been notified, or evades the notification, the Chaperone/DCO shall, if possible, inform the former 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 *UCI*. The *UCI* shall follow the steps prescribed in Annex A – Investigating a Possible Failure to Comply.

7.4 Time-limit and Permissible Delays

7.4.1 The time-limit within which the *Rider* is to appear for *Sample* taking shall be set by the DCO, taking account of the circumstances. *Sample* collection shall start as soon as possible and, except in abnormal circumstances, not later than one hour after the *Rider* and/or third party's acceptance and acknowledgment of the notification as per Article 7.3.2, except where Article 7.4.2 applies.

7.4.2 The DCO may at his/her discretion consider any reasonable third party request or any request by the *Rider* for permission to delay reporting to the *Doping Control* Station following acknowledgment and acceptance of notification, and/or to leave the *Doping Control* Station temporarily after arrival, and may grant such permission only if the *Rider* can be continuously chaperoned and kept under direct observation during the delay. For example, delayed reporting or temporary departure from the *Doping Control* Station may be permitted for the following activities:

a) In the scope of *Event Testing* exclusively:

   i. Participation in a presentation ceremony (the deadline to report shall the be 30 (thirty) minutes of the end of the ceremony);

   ii. Fulfilment of media commitments; (the deadline to report shall then be 30 (thirty) minutes of the moment that his presence is no longer required at the press conference).

   iii. Competing in further *Competitions*;

   [Comment: A Rider who has to take part in another Event on the same day may, within the time-limit provided for in Article 7.4.1, ask permission from the DCO to submit to Sample collection after the other Event. The DCO shall decide whether the test should take place immediately or following the other Event.]

   iv. Performing a warm down;

   v. Obtaining necessary medical treatment;

   vi. Locating a representative and/or interpreter;

   vii. Obtaining photo identification; or

   viii. Any other reasonable circumstances, as determined by the DCO, taking into account the instructions provided by the *UCI*.

7.4.3 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 *UCI*. Any failure of the *Rider* to remain under constant observation shall also be recorded.

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

7.4.5 If the *Rider* delays reporting to the *Doping Control* Station other than in accordance with Article 7.4.1 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 *Rider's* delay in reporting to the *Doping Control* Station.

7.4.6 If *Sample* Collection Personnel observe any matter with potential to compromise the collection of the *Sample*, the circumstances shall be reported to and documented by the DCO. If deemed appropriate by the DCO, the DCO shall 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 *Rider*.

7.4.7 If the DCO gives approval for the *Rider* in accordance with Article 7.4, the DCO shall agree with the *Rider* on the following conditions of leave:

a) The reason of the delay or purpose of the *Rider* leaving the *Doping Control* Station;

b) The time of return (or return upon completion of an agreed activity);

c) That the *Rider* must remain under continuous observation of the *Sample* Collection Personnel throughout;

d) That the *Rider* shall not pass urine until he/she gets back to the *Doping Control* Station; and

e) The DCO shall document the time of the *Rider's* departure and return.

8.0 Conducting the *Sample* Collection Session

8.1 General

The *Sample* Collection Session starts with defining overall responsibility for the conduct of the *Sample* Collection Session and ends once the *Sample* has been collected and secured and the *Sample* collection documentation is complete.

The *Sample* Collection Session will be conducted in a manner that ensures the integrity, security and identity of the *Sample* and respects the privacy and dignity of the *Rider.*

8.2 Requirements Prior to *Sample* Collection

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

8.2.2 The DCO shall ensure that the *Rider* has been informed of his/her rights and responsibilities as specified in Article 7.3.1.

8.2.3 The DCO shall provide the *Rider* with the opportunity to hydrate. The *Rider* should avoid excessive rehydration, having in mind the requirement to provide a *Sample* with a Suitable Specific Gravity for Analysis.

8.2.4 The *Rider shall* only leave the *Doping Control* Station under continuous observation by the DCO or Chaperone and with the approval of the DCO. The DCO shall consider any reasonable request by the *Rider* to leave the *Doping Control* Station, as specified in Articles 7.4. until the *Rider* is able to provide a *Sample.*

8.3 Requirements for *Sample* collection

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

a) Annex D: Collection of Urine *Samples*;

b) Annex E: Collection of Blood *Samples.*

8.3.2 Any behaviour by the *Rider* and/or *Persons* associated with the *Rider* or anomalies with potential to compromise the *Sample* collection shall be recorded in detail by the DCO. If appropriate, the *UCI* shall institute Annex A – Investigating a Possible Failure to Comply.

8.3.3 If there are doubts as to the origin or authenticity of the *Sample,* the *Rider* shall be asked to provide an additional *Sample.* If the *Rider* refuses to provide an additional *Sample,* the DCO shall document in detail the circumstances around the refusal, and the *UCI* shall institute Annex A – Investigating a Possible Failure to Comply.

8.3.4 The DCO shall provide the *Rider* with the opportunity to document any concerns he/she may have about how the *Sample* Collection Session was conducted.

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

a) Date, time and type of notification (no advance notice or advance notice);

b) Arrival time at *Doping Control* Station;

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

d) The name of the *Rider*;

e) The date of birth of the *Rider*;

f) The gender of the *Rider*;

g) The *Rider's* home address, email address and telephone number;

h) The *Rider's* sport and discipline;

i) The name of the *Rider's* coach and doctor;

j) The *Sample* code number;

k) The type of the *Sample* (urine, blood, etc);

l) The type of test (*In-Competition* or *Out-of-Competition*);

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

n) The name and signature of the Blood Collection Officer (where applicable);

o) Partial *Sample* information, as per Article F.4.4;

p) Required laboratory information on the *Sample* (i.e., for a urine *Sample,* its volume and specific gravity);

q) 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 *Rider*;

r) Any irregularities in procedures;

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

t) *Rider* consent for the processing of *Sample* collection data;

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

v) The name and signature of the *Rider's* representative (if applicable), as per Article 8.4.6;

w) The name and signature of the *Rider*;

x) The name and signature of the DCO;

y) The name of the *Testing* Authority;

z) The name of the *Sample* Collection Authority.

8.3.6 At the conclusion of the *Sample* Collection Session the *Rider* and DCO shall sign appropriate documentation to indicate their satisfaction that the documentation accurately reflects the details of the *Rider's Sample* Collection Session, including any concerns expressed by the *Rider.* The *Rider's* representative (if any) and the *Rider* shall both sign the documentation if the *Rider* is a *Minor.* Other persons present who had a formal role during the *Rider's Sample* Collection Session may sign the documentation as a Witness of the proceedings.

8.3.7 By appending his signature on the *Doping Control* Form, the *Rider* confirms
that, subject to any concern recorded by the *Rider*:

1. the *Sample collection* was conducted in accordance with applicable regulations;
2. any subsequent complaint is excluded;
3. he/she received a copy of the records of the *Sample* Collection Session that have been signed by the *Rider*.

[*Comment: The notification form mentions the Rider's main aforementioned rights and responsibilities. Riders should read the contents of the form before signing it. By his/her signature on the form, the Rider confirms that he/she has taken note of the contents of the form.*]

8.3.8 For the sake of clarity, the *Doping Control* Form in electronic format is deemed valid and sufficient proof and produces the same effects as a paper document.

8.3.9 Should the DCO discharge a *Rider* or terminate the *Sample* Collection Session before the *Rider* has been tested, the *Rider* concerned shall be considered as not to have been selected for *Sample* taking and shall not have committed an anti-doping violation for having left the *Doping Control* Station.

9.0 Security/Post-test administration

9.1 General

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

9.2 Requirements for security/post-test administration

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

9.2.2 The *UCI* shall develop a system to ensure that the documentation for each *Sample* is completed and securely handled.

9.2.3 The *Sample* Collection Authority shall develop a system to ensure that, where required, instructions for the type of analysis to be conducted are provided to the laboratory that will be conducting the analysis. In addition, the *Sample* Collection Authority shall provide the laboratory with information as required under Article 8.3.5 c), f), h), j), k), l), o), p), q), y), z) and for result reporting and statistical purposes.

10.0 Transport of *Samples* and documentation

10.1 General

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

10.1.2 The main activities are arranging for the secure transport of *Samples* and related documentation to the laboratory that will be conducting the analysis, and arranging for the secure transport of the *Sample* Collection Session documentation to the *UCI*.

10.2 Requirements for transport and storage of *Samples* and documentation

10.2.1 The *UCI* shall authorize a transport system that ensures *Samples* and documentation are transported in a manner that protects their integrity, identity and security.

10.2.2 *Samples* shall always be transported to the laboratory that will be analyzing the *Samples* using one of the *Sample* Collection Authority's the authorised transport methods, as soon as practicable after the completion of the *Sample* Collection Session. *Samples* shall be transported in a manner which minimizes the potential for *Sample* degradation due to factors such as time delays and extreme temperature variations.

10.2.3 Documentation identifying the *Rider* shall not be included with the *Samples* or documentation sent to the laboratory that will be analyzing the *Samples*.

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

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

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

10.3 Reporting

10.3.1 The *UCI* will report, through *ADAMS* or otherwise, all *Testing* conducted under the *UCI* ADR to *WADA*, including the name of the *Rider*, the date and place of the test and whether the test was *In-Competition* or *Out-of-Competition*.

10.3.2 National Federations that conduct *Testing* under the *UCI ADR* shall report all *Testing* to the *UCI* immediately after *Testing*.

10.3.3 *WADA* shall make the information accessible, through *ADAMS* or otherwise, to the *Rider*, the *Rider's* National Federation, *National Olympic Committee* or National Paralympic Committee, *National Anti-Doping Organization* and the International Olympic Committee or International Paralympic Committee.

10.3.4 Where appropriate in order to ensure coordinated *Testing*, the *UCI* may make the information also directly available to the *Rider's National Olympic Committee* or National Paralympic Committee, *National Anti-Doping Organization* and the International Olympic Committee or International Paralympic Committee and the *UCI* may receive such information from same.

PART FIVE: STANDARDS FORINTELLIGENCE-GATHERING AND INVESTIGATIONS

11.0 Gathering, assessment and use of intelligence

11.1 Gathering of anti-doping intelligence

In furtherance of *UCI ADR* Article 5.8, *the UCI* shall do everything in its power to ensure that it is able to capture or receive anti-doping intelligence from all available sources, including *Riders* and *Rider Support Personnel* (including *Substantial Assistance* provided pursuant to *UCI ADR* Article 10.6.1) and members of the public (e.g., by means of a confidential telephone hotline), *Sample* Collection Personnel (whether via mission reports, incident reports, or otherwise), laboratories, pharmaceutical companies, National Federations, law enforcement, other regulatory and disciplinary bodies, and the media.

11.2 Assessment and analysis of anti-doping intelligence

11.2.1 *The UCI* shall ensure that it is able to assess all anti-doping intelligence upon receipt for relevance, reliability and accuracy, taking into account the nature of the source and the circumstances in which the intelligence has been captured or received.

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

11.3 Intelligence outcomes

11.3.1 Anti-doping intelligence shall be used to assist in developing, reviewing and revising the Test Distribution Plan and/or in determining when to conduct *Target Testing*, in each case in accordance with Section 4 of the *UCI TIR*, and/or to create targeted intelligence files to be referred for investigation in accordance with Section 12 of the *UCI TIR*.

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

12.0 Investigations

12.1 Objective

12.1.1 The objective of this Section is to establish standards for the efficient and effective conduct of investigations that the *UCI* must conduct under the *UCI ADR*, including:

a) the investigation of *Atypical Findings* and *Adverse Passport Findings*, in accordance with *UCI ADR* Articles 7.4 and 7.5 respectively;

b) the investigation of any other analytical or non-analytical information or intelligence where there is reasonable cause to suspect that an anti-doping rule violation may have been committed, in accordance with *UCI ADR* Articles 7.6 and 7.7 respectively; and

c) where an anti-doping rule violation *involving a Minor or Rider Support Personnel who has provided support to more than one Rider found to have committed an anti-doping rule violation,* the investigation into whether *Athlete Support Personnel* or other *Persons* may have been involved in either violation.

12.1.2 In each case, the purpose of the investigation is to achieve one of the following: either (a) to rule out the possible violation/involvement in a violation; or (b) to develop evidence that supports the initiation of an anti-doping rule violation proceeding in accordance with *UCI ADR* Article 8.

12.2 Investigating *Atypical Findings* and *Adverse Passport Findings*

12.2.1 The *UCI* shall ensure that they are able to investigate confidentially and effectively *Atypical Findings* and *Adverse Passport Findings* arising out of *Testing* conducted on its behalf and/or for which it is the Results Management Authority, in accordance with the requirements of *UCI ADR* Articles 7.4 and 7.5 respectively, and of the International Standard for Laboratories.

12.2.2 The *UCI* shall provide to *WADA* upon request further information regarding the circumstances of *Adverse Analytical Findings*, *Atypical Findings*, and other potential anti-doping rule violations, such as (without limitation):

a) the *Competition* level of the *Rider* in question;

b) what whereabouts information (if any) the *Rider* 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*;

c) the timing of the *Sample* collection in question relative to the *Athlete's* training and C*ompetition* schedules; and

d) other such profile information as determined by *WADA*.

12.3 Investigating other possible anti-doping rule violations

12.3.1 When there is reasonable cause to suspect that an anti-doping rule violation may have been committed, the *UCI* shall notify *WADA* that it is starting an investigation into the matter in accordance with *UCI ADR* Article 7.6 or Article

7.7, as applicable. Thereafter the *UCI* shall keep *WADA* updated on the status and findings of the investigation upon request.

12.3.2 The *UCI* 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 *UCI* shall ensure that investigations are conducted fairly, objectively and impartially at all times. The conduct of investigations, the evaluation of information and evidence identified in the course of that investigation, and the outcome of the investigation, shall be fully documented.

12.3.3 The *UCI* should make use of all investigative resources reasonably available to it to conduct its investigation. This may include obtaining information and assistance from law enforcement and other relevant authorities, including other regulators. However, the *UCI* should also make full use of all investigative resources at its own disposal, including the *Athlete Biological Passport* program, investigative powers conferred under the *UCI* ADR and the power to suspend a period of *Ineligibility* imposed on a *Rider* or other *Person* in return for the provision of *Substantial Assistance* in accordance with *UCI ADR* Article 10.6.1.

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

12.4 Investigation outcomes

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

12.4.2 Where the *UCI* concludes based on the results of its investigation that proceedings should be brought against the *Rider* or other *Person* asserting commission of an anti-doping rule violation, it shall give notice of that decision in the manner set out in *UCI ADR* Articles 7.4 to 7.7 (as applicable) and shall bring the proceedings against the *Rider* or other *Person* in question in accordance with *UCI ADR* Article 8.

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

a) It shall notify *WADA* and the *Rider's* or other *Person's National Anti-Doping Organization* in writing of that decision, with reasons, in accordance with *UCI ADR* Article 14.2.3.

b) It shall provide such other information about the investigation as is reasonably required by *WADA* and/or *National Anti-Doping Organization* in order to determine whether to appeal against that decision.

c) In any *Event*, it shall consider whether any of the intelligence obtained and/or lessons learned during the investigation should be used to inform the development of its Test Distribution Plan and/or to plan *Target Testing*, and/or should be shared with any other body in accordance with Article 11.3.2.

PART SIX: ANNEXES

Annex A - Investigating a Possible Failure to Comply

A.1 Scope

Investigating a possible Failure to Comply begins when the *UCI* or a DCO becomes aware of a possible Failure to Comply and ends when the *UCI* takes appropriate follow-up action based on the outcome of its investigation.

A.2 Responsibility

A.2.1 The *UCI* is responsible for ensuring that:

a) when the possible Failure to Comply comes to its attention, it notifies *WADA*, and instigates an investigation of the possible Failure to Comply based on all relevant information and documentation;

b) the *Rider* or other party is informed of the possible Failure to Comply in writing and has the opportunity to respond in accordance with *UCI* ADR Article 7.7 or Article 5.7.2.1, where applicable;

c) the investigation is conducted without unnecessary delay and the evaluation process is documented; and

d) 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 Organizations* in accordance with *UCI ADR* Articles 7.10 and 14.2.3 or Article 5.8, where applicable.

A.2.2 The DCO is responsible for:

a) informing the *Rider* or other party of the *Consequences* of a possible Failure to Comply;

b) completing the *Rider's Sample* Collection Session where possible; and

c) providing a detailed written report of any possible Failure to Comply.

A.2.3 *Sample* Collection Personnel are responsible for:

a) informing the *Rider* or other party of the *Consequences* of a possible Failure to Comply; and

b) reporting to the DCO any possible Failure to Comply.

A.3 Requirements

A.3.1 Any potential Failure to Comply shall be reported by the DCO and/or followed up by the *UCI* as soon as practicable.

A.3.2 If the *UCI* determines that there has been a potential Failure to Comply, the *Rider* or other party will be promptly notified in writing in accordance with *UCI* ADR Article 7.7 or Article 5.7.2.1, where applicable:

a) of the possible *Consequences* ; and

b) that the potential Failure to Comply will be investigated by the *UCI* and appropriate follow-up action will be taken.

A.3.3 Any additional necessary information about the potential Failure to Comply will be obtained from all relevant sources (including the *Rider* or other party) as soon as possible and recorded.

A.3.4 The *UCI* will establish a system for ensuring that 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 *Riders* with Impairments

B.1 Objective

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

B.2 Scope

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

B.3 Responsibility

B.3.1 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 a *Rider* with an impairment.

B.3.2 The DCO has responsibility for *Sample* collection.

B.4 Requirements

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

> *[Comment: For example, it may be appropriate, in the case of an Rider with an intellectual impairment, to obtain consent to Testing from his/her representative.]*

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

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

B.4.4 A *Rider* with an intellectual, physical or sensorial impairment may be assisted by the *Rider's* representative or *Sample* Collection Personnel during the *Sample* Collection Session where authorized by the *Rider* and agreed to by the DCO.

B.4.5 The DCO may decide that alternative *Sample* Collection Equipment or facilities will be used when required to enable the *Rider* to provide the *Sample,* as long as the *Sample's* identity, security and integrity will not be affected.

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

B.4.7 The DCO will record modifications made to the standard *Sample* collection procedures for *Riders* with impairments, including any applicable modifications specified in the above actions.

Annex C - Modifications for *Riders* who are *Minors*

C.1 Objective

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

C.2 Scope

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

C.3 Responsibility

The *UCI* has responsibility for ensuring, when possible, that the DCO has any information necessary to conduct a *Sample* Collection Session with the *Rider* who is a *Minor*. This includes confirming wherever necessary that the organiser of the *Event* obtains the necessary parental consent for *Testing* any participating *Rider* who is a *Minor*.

C.4 Requirements

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

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

C.4.3 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.*

C.4.4 *Riders* 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 Witness is observing the *Sample* provision correctly.

C.4.5 The DCO shall determine who (in addition to the *Sample* Collection Personnel) shall be present during the collection of a *Sample* from a *Rider* who is a *Minor*, namely a representative of the *Minor* to observe the *Sample* Collection Session (including observing the Witness 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*) or the Witness' representative, to observe the Witness 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.4.6 Should a *Rider* 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 Witness must be present.

C.4.7 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.

C.4.8 The *Sample* Collection Authority shall consider the appropriate course of action when no adult is present at the *Testing* of a *Rider* who is a *Minor* and shall accommodate the *Rider* in locating a representative in order to proceed with *Testing.*

Annex D - Collection of Urine *Samples*

D.1 Objective

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

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

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

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

d) the *Sample* is clearly and accurately identified; and

e) the *Sample* is securely sealed in a tamper-evident kit.

D.2 Scope

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

D.3 Responsibility

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

D.3.2 The Witness has the responsibility for directly witnessing the passing of the urine *Sample.*

D.4 Requirements

D.4.1 The DCO shall ensure that the *Rider* is informed of the requirements of the *Sample* Collection Session, including any modifications as provided for in Annex B – Modifications for *Riders* with Impairments.

D.4.2 The DCO shall ensure that the *Rider* is offered a choice of appropriate equipment for collecting the *Sample.* If the nature of a *Rider's* impairment requires that he/she must use additional or other equipment as provided for in Annex B – Modifications for *Riders* with Impairments, the DCO shall inspect that equipment to ensure that it will not affect the identity or integrity of the *Sample.*

D.4.3 The DCO shall instruct the *Rider* to select a collection vessel.

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

D.4.5 The *Rider* shall retain control of the collection vessel and any *Sample* provided until the *Sample* (or partial *Sample*) is sealed, unless assistance is required by reason of a *Rider's* impairment as provided for in Annex B – Modifications for *Riders* with Impairments. Additional assistance may be provided in exceptional circumstances to any *Rider* by the *Rider's* representative or *Sample* Collection Personnel during the *Sample* Collection Session where authorised by the *Rider* and agreed to by the DCO. In such *Event*, the additional assistance shall be documented by the DCO.

D.4.6 The Witness shall be of the same gender as the *Rider* providing the *Sample.*

D.4.7 The Witness should, where practicable, ensure the *Rider* thoroughly washes his/her hands, but without soap, prior to the provision of the *Sample* or wears suitable (e.g., latex) gloves during provision of the *Sample.*

D.4.8 The Witness and *Rider* shall proceed to an area of privacy to collect a *Sample.*

D.4.9 The Witness shall ensure an unobstructed view of the *Sample* leaving the *Rider's* body. The Witness and/or the DCO must continue to observe the *Sample* after provision until the *Sample* is securely sealed. In order to ensure a clear and unobstructed view of the passing of the *Sample,* the Witness shall instruct the *Rider* to remove or adjust any clothing that restricts the Witness' clear view of *Sample* provision. The Witness shall ensure that all urine passed by the *Rider* at the time of provision of the *Sample* is collected in the collection vessel.

D.4.10 The DCO shall verify, in full view of the *Rider*, that the Suitable Volume of Urine for Analysis has been provided.

D.4.11 Where the volume of urine provided by the *Rider* is insufficient, the DCO shall follow the partial *Sample* collection procedure set out in Annex F – Urine *Samples* – Insufficient Volume.

D.4.12 Once the volume of urine provided by the *Rider* is sufficient, the DCO shall instruct the *Rider* to select a *Sample* collection kit containing A and B bottles in accordance with Article D.4.4.

D.4.13 Once a *Sample* collection kit has been selected, the DCO and the *Rider* shall check that all code numbers match. If the *Rider* or DCO finds that the numbers are not the same, the DCO shall instruct the *Rider* to choose another kit in accordance with Article D.4.4. The DCO shall record the matter.

D.4.14 The *Rider* 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 that the *Rider* fills the A bottle to capacity as per the recommendation of the equipment manufacturer. Should there still be urine remaining, the DCO shall ensure that the *Rider* fills the B bottle to capacity as per the recommendation of the equipment manufacturer. The DCO shall instruct the *Rider* to ensure that a small amount of urine is left in the collection vessel, explaining that this is to enable the DCO to test that residual urine in accordance with Article D.4.16.

D.4.15 The *Rider* shall then seal the A and B bottles as directed by the DCO. The DCO shall check, in full view of the *Rider*, that the bottles have been properly sealed.

D.4.16 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.4.17 Once the requirements of Article D.4.16 are satisfied, the *Rider* shall check that the code number is recorded accurately by the DCO on the *Doping Control Form*.

D.4.18 Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with Article D.4.14 and the residual urine has been tested in accordance with Article D.4.16.

D.4.19 The DCO shall ensure that any residual urine that will not be sent for analysis is discarded in full view of the *Rider*.

Annex E - Collection of Blood *Samples*

E.1 Objective

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

a) 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 *Rider* and *Sample* Collection Personnel are not compromised;

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

c) that *Samples* intended for use in connection with the measurement of individual *Rider* blood variables within the framework of the *Athlete Biological Passport* program are collected in a manner appropriate for such use.

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

e) the *Sample* is clearly and accurately identified; and

f) the *Sample* is securely sealed.

E.2 Scope

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

E.3 Responsibility

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

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

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

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

E.4 Requirements

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

E.4.2 Blood *Sample* Collection Equipment shall consist of (a) one or several *Sample* tubes for *Samples* to be used in connection with an *Athlete Biological*

Passport program; and/or (b) both an A and B *Sample* tube for *Samples* not to be used in connection with an *Athlete Biological Passport* program; or (c) 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.4.3 The DCO shall ensure that the *Rider* is properly notified of the requirements of the *Sample* collection, including any modifications as provided for in Annex B – Modifications for *Riders* with Impairments. If the *Sample* is to be used in connection with the *Athlete Biological Passport* program, 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 *Rider* and the DCO/BCO:

a) whether the *Rider* has been seated 10 minutes prior to the blood collection;

b) whether the *Sample* is collected immediately following at least three consecutive days of *Competition*;

c) confirmation that the *Rider* did not participate in training or *Competition* in the last two hours before the *Sample* was collected (see Article E.4.5);

d) whether the *Rider* trained, competed or resided at an altitude greater than 1500 meters in the previous two weeks. If so, or if in doubt, the name and location of the place(s) where the *Rider* has been, as well as the duration of his/her stay there, shall be recorded, along with the estimated altitude there (if known).

e) whether the *Rider* used any form of altitude simulation (such as a hypoxy 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;

f) whether the *Rider* 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.

g) whether the Rider was exposed to extreme environmental conditions in the last two hours before the Sample was collected

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

E.4.5 The DCO/BCO shall ensure the *Rider* is offered comfortable conditions and shall instruct that the *Rider shall* remain in a normal seated position for at least 10 minutes prior to providing a *Sample.* If the *Sample* is to be used in connection with the *Athlete Biological Passport* program, it should not be

collected within two hours of the *Rider* training or competing. If the *Rider* has trained or competed within two hours of the time that the *Rider* is notified of his/her selection for *Sample* collection, the DCO/BCO/Chaperone shall monitor the *Rider* continuously until the two hour period has elapsed, after which the *Sample s*hall 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.4.6 The DCO shall instruct the *Rider* to select the *Sample* collection kit(s) required for collecting the *Sample* and to check that the selected equipment has not been tampered with and the seals are intact. If the *Rider* is not satisfied with a selected kit, he/she may select another. If the *Rider* is not satisfied with any kits and no others are available, this shall be recorded by the DCO. If the DCO does not agree with the *Rider* that all of the available kits are unsatisfactory, the DCO shall instruct the *Rider* to proceed with the *Sample* Collection Session. If the DCO agrees with the *Rider* that all available kits are unsatisfactory, the DCO shall terminate the *Sample* Collection Session and this shall be recorded by the DCO.

E.4.7 When a *Sample* collection kit has been selected, the DCO and the *Rider* shall check that all code numbers match. If the *Rider* or DCO finds that the numbers are not the same, the DCO shall instruct the *Rider* to choose another kit. The DCO shall record the matter.

E.4.8 The BCO shall clean the skin with a sterile disinfectant wipe or swab in a location unlikely to adversely affect the *Rider* or his/her performance and, if required, apply a tourniquet. The BCO shall take the blood *Sample* from a superficial vein into the tube. The tourniquet, if applied, shall be immediately removed after the venipuncture has been made.

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

E.4.10 If the amount of blood that can be removed from the *Rider* at the first attempt is insufficient, the BCO shall repeat the procedure up to a maximum of three attempts in total. Should all three attempts fail to produce a sufficient amount of blood, then 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.4.11 The BCO shall apply a dressing to the puncture site(s).

E.4.12 The BCO shall dispose of used blood sampling equipment not required to complete the *Sample* Collection Session in accordance with the required local standards for handling blood.

E.4.13 If the *Sample* requires further on-site processing, such as centrifugation or separation of serum (for example, in the case of a *Sample* intended for use in connection with the *Athlete Biological Passport* program, after the blood flow into the tube ceases, the BCO shall remove the tube from the holder and homogenize the blood in the tube manually by inverting the tube gently at least three times), the *Rider* shall remain to observe the *Sample* until final sealing in secure, tamper-evident kit.

E.4.14 The *Rider* shall seal his/her *Sample* into the *Sample* collection kit as directed by the DCO. In full view of the *Rider*, the DCO shall check that the sealing is satisfactory. The *Rider* shall check that the code number is recorded accurately by the DCO on the *Doping Control Form*. The *Rider* and the BCO/DCO shall sign the *Doping Control* form.

E.4.15 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). If deemed appropriate in light of the circumstances, a temperature data logger should 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).

E4.16 The sealed *Sample* shall be stored in a manner that protects its integrity, identity and security prior to transport from the *Doping Control* Station to the laboratory that will be analysing the *Sample.*

E.4.17 Blood *Samples* shall be transported in accordance with Section 10. 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 authorized by the *Testing* Authority. 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 as per the requirements set in *WADA*'s *Athlete Biological Passport Operating Guidelines* in force.

Annex F - Urine *Samples* - Insufficient Volume

F.1 Scope

The procedure begins with informing the *Rider* that the *Sample* that he/she has provided is not of Suitable Volume of Urine for Analysis and ends with the *Rider's* provision of a *Sample* of sufficient volume.

F.2 Responsibility

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

F.3 Requirements

F.3.1 If the *Sample* collected is of insufficient volume, the DCO shall inform the *Rider* that a further *Sample* shall be collected to meet the Suitable Volume of Urine for Analysis requirements.

F.3.2 The DCO shall instruct the *Rider* to select partial *Sample* Collection Equipment in accordance with Article D.4.4.

F.3.3 The DCO shall then instruct the *Rider* to open the relevant equipment, pour the insufficient *Sample* into partial *Sample* collection equipment and seal it as directed by the DCO. The DCO shall check, in full view of the *Rider*, that the partial *Sample* collection equipment as been properly sealed.

F.3.4 The DCO and the *Rider* shall check that the equipment code number and the volume and identity of the insufficient *Sample* are recorded accurately by the DCO on the *Doping Control* form. The DCO shall retain control of the sealed partial *Sample*.

F.3.5 While waiting to provide an additional *Sample*, the *Rider* shall remain under continuous observation and be given the opportunity to hydrate.

F.3.6 When the *Rider* is able to provide an additional *Sample,* the procedures for collection of the *Sample* shall be repeated as prescribed in Annex D – Collection of Urine *Samples* until a sufficient volume of urine will be provided by combining the initial and additional *Sample(s)*.

F.3.7 When the DCO is satisfied that the requirements for Suitable Volume of Urine for Analysis have been met, the DCO and *Rider* shall check the integrity of the seal(s) on the container(s) containing the previously provided partial *Sample(s)*. Any irregularity with the integrity of the seal(s) will be recorded by the DCO and investigated according to Annex A – Investigating a Possible Failure to Comply.

F.3.8 The DCO shall then direct the *Rider* to break the seal(s) and combine the *Samples*, ensuring that additional *Samples* are added in the order they were collected to the original partial *Sample* until, as a minimum, the requirement for Suitable Volume of Urine for Analysis is met.

F.3.9 The DCO and the *Rider* shall then continue with Article D.4.12 or Article D.4.14 as appropriate.

F.3.10 The DCO shall check the residual urine in accordance with Article D.4.16 to ensure that it meets the requirement for Suitable Specific Gravity for Analysis.

F.3.11 Urine should only be discarded when both the A and B bottles have been filled to capacity in accordance with Article D.4.14 and the residual urine has been checked in accordance with Article F.4.10. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum.

Annex G - Urine *Samples* that do not meet the requirement for Suitable Specific Gravity for Analysis

G.1 Scope

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

G.2 Responsibility

The *Sample* Collection Authority is responsible for establishing procedures to ensure that a suitable *Sample* is collected. If the original *Sample* collected does not meet the requirement for Suitable Specific Gravity for Analysis, the DCO is responsible for collecting additional *Samples* until a suitable *Sample* is obtained.

G.3 Requirements

G.3.1 The DCO shall determine that the requirements for Suitable Specific Gravity for Analysis have not been met.

G.3.2 The DCO shall inform the *Rider* that he/she is required to provide a further *Sample.*

G.3.3 While waiting to provide a further *Sample,* the *Rider* shall remain under continuous observation.

G.3.4 The *Rider* 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.3.5 When the *Rider* 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.3.6 The DCO should continue to collect additional *Samples* until the requirement for Suitable Specific Gravity for Analysis is met, or until the DCO determines that there are exceptional circumstances which mean that for logistical reasons, or as per the *UCI*'s instructions on the matter, it is impossible to continue with the *Sample* Collection Session. Such exceptional circumstances shall be documented accordingly by the DCO.

> *[Comment: It is the responsibility of the Rider to provide a Sample with a Suitable Specific Gravity for Analysis. If his/her first Sample is too dilute, he/she should not need further hydration and therefore should avoid drinking as far as possible until a Sample with a Suitable Specific Gravity for Analysis is provided. The DCO should wait as long as necessary to collect such a Sample. The UCI may specify procedures to be followed by the DCO in determining whether exceptional circumstances exist that make it impossible to continue with the Sample Collection Session.]*

G.3.7 The DCO shall record that the *Samples* collected belong to a single *Rider* and the order in which the *Samples* were provided.

G.3.8 The DCO shall then continue with the *Sample* Collection Session in accordance with Article D.4.17.

G.3.9 If it is determined that none of the *Samples* collected from the *Rider* meets the requirement for Suitable Specific Gravity for Analysis and the DCO determines that for logistical reasons or as defined by the *UCI* it is impossible to continue with the *Sample* Collection Session, the DCO may end the *Sample* Collection Session.

G.3.10 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.

G.3.11 The laboratory shall determine, in conjunction with the *UCI*, which *Samples* shall be analyzed.

Annex H - *Sample* Collection Personnel Requirements

H.1 Objective

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

H.2 Scope

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

H.3 Responsibility

The *UCI* has the responsibility for all activities defined in this Annex H.

H.4 Requirements - Qualifications and Training

H.4.1 The *Sample* Collection Authority shall:

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

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

i) *Sample* Collection Personnel shall not be *Minors*; and

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

H.4.2 The *UCI* shall ensure that *Sample* Collection Personnel that have an interest in the outcome of a *Sample* Collection Session are not appointed to that *Sample* Collection Session. *Sample* Collection Personnel are deemed to have such an interest if they are:

a) Involved in the administration of the sport of cycling; or

b) Related to, or involved in the personal affairs of, any *Rider*.

H.4.3 The *UCI* shall establish a system that ensures that *Sample* Collection Personnel are adequately trained to carry out their duties.

H.4.3.1 The training program for BCOs shall include, as a minimum, studies of all relevant requirements of the *Testing* process and familiarization with relevant standard precautions in healthcare settings.

H.4.3.2 The training program for DCOs shall include, as a minimum:

a) Comprehensive theoretical training in different types of *Testing* activities relevant to the DCO position;

b) Observation of all *Doping Control* activities that are the responsibility of the DCO as set out in the *UCI TIR*, preferably on-site; and

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

H.4.3.3 The training program for Chaperones shall include studies of all relevant requirements of the *Sample* collection process.

H.4.3.4. The training program for *Sample* Collection Personnel shall include requirements to enable them to carry out their activities with respect to *Rider*s of different nationalities.

H 4.4 The *UCI* shall maintain records of education, training, skills and experience of all *Sample* Collection Personnel.

H.5 Requirements - Accreditation, re-accreditation and delegation

H.5.1 The *UCI* shall establish a system for accrediting and re-accrediting *Sample* Collection Personnel.

H.5.2 The *UCI* shall ensure that *Sample* Collection Personnel have completed the training program and are familiar with the requirements of the *UCI* TIR before granting accreditation.

H.5.3 Accreditation shall only be valid for a maximum of two years. *Sample* Collection Personnel shall be required to repeat a full training program if they have not participated in *Sample* collection activities within the year prior to re-accreditation.

H.5.4 Only *Sample* Collection Personnel who have an accreditation recognised by the *UCI* shall be authorised by the *UCI* to conduct *Sample* collection activities on behalf of the *UCI*.

H.5.5 DCOs may personally perform any activities involved in the *Sample* Collection Session, with the exception of blood collection unless particularly qualified, or they may direct a Chaperone to perform specified activities that fall within the scope of the Chaperone's authorised duties.

Annex I – ***Event Testing***

I.1 As anticipated by *UCI ADR* Article 5.3.2, this Annex sets out the procedure to be followed by *WADA* in considering requests made by *Anti-Doping Organizations* for permission to conduct *Testing* at an *Event* where they have been unable to reach agreement on such *Testing* with the ruling body of the *Event.*

I.2 *WADA's* aim in considering such requests is to encourage collaboration and coordination between different *Anti-Doping Organizations* to optimize the effectiveness of their respective *Testing* programs while ensuring that each *Anti-Doping Organization's* responsibilities are properly managed to avoid creating operational disturbance and harassment for *Riders*.

I.3 Any *Anti-Doping Organization* that is not responsible for initiating and directing *Testing* at an *Event* in accordance with *UCI ADR* Article 5.3.2, but which nevertheless desires to conduct *Testing* at such *Event* shall, prior to contacting *WADA*, request such permission from the *UCI* in written form with full supporting reasons.

I.4 Such request shall be sent to the *UCI* at least 35 days prior to the beginning of the *Event* (i.e., 35 days prior to the beginning of the *In-Competition* period as defined by the rules of the *UCI*).

I.5 If the *UCI* refuses, or does not respond within 7 days from receipt of the request, the requesting *Anti-Doping Organization* may send to *WADA* (with a copy to the *UCI*) a written request with full supporting reasons, a clear description of the situation, and all the relevant correspondence between the *UCI* and the requesting *Anti-Doping Organization*. Such request must be received by *WADA* no later than 21 days prior to the beginning of the *Event*.

I.6 Upon receipt of such request, *WADA* will immediately ask the *UCI* for its position on the request and the ground for its refusal. The *UCI* shall send *WADA* an answer within 7 days of receipt of *WADA's* request.

I.7 Upon receipt by *WADA* of the *UCI*'s answer, or if no answer is provided by the *UCI* within the 7 days, *WADA* will render a reasoned decision within the next 7 days. In making its decision, *WADA* will consider, amongst others, the following:

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

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

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

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

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

f) Any other available information that *WADA* considers relevant.

I.8 If *WADA* decides that permission for *Testing* at the *Event* should be granted, either as requested by the requesting *Anti-Doping Organization* or as proposed by *WADA*, *WADA* may give the *UCI* the possibility of conducting such *Testing*, unless *WADA* judges that this is not realistic and/or appropriate in the circumstances.