



Softball Australia Anti-Doping Policy

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Interpretation

This Anti-Doping Policy as amended takes effect on 10 August 2020.

In this Anti-Doping Policy, references to Sporting Administration Body should be read as references to Softball Australia Limited. Softball Australia's international federation is the World Baseball Softball Confederation.¹

Warning to athletes and athlete support personnel

- You are responsible for knowing what the anti-doping rule violations are.
 - You must find out which substances and methods are prohibited.
 - Ignorance is no excuse.
 - You must be aware of the rules in this Anti-Doping Policy.
 - This Anti-Doping Policy adopts the strict liability principle.
 - Athletes are responsible for anything found in their system.
- You must be aware of the sanctions that could be applied to you in this Anti-Doping Policy

¹ Defined terms are in italics and capitalised. Other words will have either the definition provided for by the *WADA Code*, or if they are not defined they will have their plain English meaning.



Application of Anti-Doping Policy

1.1 Application of the Anti-Doping Policy

This Anti-Doping Policy shall apply to the sporting administration body and all its member or affiliate organisations.

The sporting administration body agrees to be bound by the sporting administration body Rules as contained in in clause 2.04 of the Sport Integrity Australia Regulations 2020.

1.2 Application to the sporting administration body

1.2.1 As a condition of receiving financial and/or other assistance from the Australian Government and/or the National Australian Olympic Committee, the sporting administration body shall accept and abide by the spirit and terms of SIA's Anti-Doping Program and this Anti-Doping Policy, and shall adopt this Anti-Doping Policy into their governing documents, constitution and/or rules as part of the rules of sport that bind their members and Participants.

1.2.2 Under this Anti-Doping Policy the sporting administration body recognises the authority and responsibility of SIA under this Anti-Doping Policy and the SIA Act and SIA Regulations (including carrying out Testing). The sporting administration body shall also recognise, abide by and give effect to the decisions made pursuant to this Anti-Doping Policy, including the decisions of hearing panels imposing sanctions on individuals under their jurisdiction.

1.2.3 The Sporting Administration Body agrees to be knowledgeable of, comply with, and be bound by the AOC Anti-Doping By-Law, as in force from time to time and as applicable².

1.2.4 In addition to its Education obligations under Article 19 of this Anti-Doping Policy, the Sporting Administration Body agrees, in collaboration with the AOC, to inform and educate the Persons listed in Articles 1.3.1(a) to 1.3.1(e) as applicable, of their obligations under the AOC Anti-Doping By-Law, as in force from time to time, and of their rights foregone, in return for the privilege to participate in an Olympic sport.

1.3 Application to Persons

1.3.1 This Anti-Doping Policy shall apply to the following Persons (including Minors), in each case, whether or not such Person is a citizen of or (temporary or permanent) resident in Australia:

- (a) all Athletes and Athlete Support Personnel who are members of the sporting administration body or of any member or affiliate organisation (including any clubs, teams, associations or leagues);
- (b) all Athletes and Athlete Support Personnel and other Persons who participate in such capacity in Events, Competitions and other activities organised, convened, authorised or recognised by the

² The AOC Anti-Doping By-Law is posted on the AOC website (www.olympics.com.au under "The AOC" and "Athlete Guidelines").



- sporting administration body or any member or affiliate organisation (including any clubs, teams, associations or leagues), wherever held;
- (c) any other Athlete or Athlete Support Personnel or other Person who, by virtue of an accreditation, a license or other contractual arrangement, or otherwise, is subject to the jurisdiction of the sporting administration body or of any member or affiliate organisation (including any clubs, teams, associations or leagues), for the purposes of anti-doping;
 - (d) all Athletes who do not fall within one of these provisions of this Article 1.3.1 but who wish to be eligible to participate in International Events or National Events and such Athletes must be available for Testing under this Anti-Doping Policy. Athletes wishing to be eligible to participate in International Events must be available for Testing for the period of time specified by the international federation for our sport. Athletes wishing to be eligible to participate in National Events must be available for Testing under this Anti-Doping Policy for at least six months before they will be eligible for such Events; and
 - (e) any Athlete or Athlete Support Personnel or other Person shall be deemed to have agreed to be bound by and comply with this Anti-Doping Policy for a period of six months following the last time the Athlete or Athlete Support Person or other Person participated in or was scheduled to participate in any capacity recognised under this Anti-Doping Policy. For clarity Athletes shall remain subject to Testing for that six-month period and be subject to results management (including hearings and appeals processes) in accordance with Article 17. The continuation of the application of this Anti-Doping Policy prevails regardless of retirement, contract termination, or any other cessation of arrangement with the sporting administration body.
- 1.3.2 This Anti-Doping Policy shall also apply to all other Persons over whom the Code, SIA Act, SIA Regulations and NAD scheme give SIA jurisdiction in respect of compliance with the anti-doping rules as defined in the SIA Act, including all Athletes who are nationals of or resident in Australia, and all Athletes who are present in Australia, whether to compete or to train or otherwise.
- 1.3.3 Persons falling within the scope of Articles 1.3.1 or 1.3.2 are deemed to have accepted and to have agreed to be bound by this Anti-Doping Policy, and to have submitted to the authority of SIA and other Anti-Doping Organisations under this Anti-Doping Policy and to the jurisdiction of the hearing panels specified in Article 8 and Article 13 to hear and determine cases and appeals



brought under this Anti-Doping Policy, as a condition of their membership, accreditation and/or participation in sport.

- 1.3.4 The Persons listed in Articles 1.3.1(a) to 1.3.1(e) agree to be knowledgeable of, comply with, and be bound by the AOC Anti-Doping By-Law, as in force from time to time and as applicable³.

1.4 Interaction between this policy and the sporting administration body's disciplinary rules or policies

The sporting administration body has its own disciplinary rules or policies regulating the conduct of its members, which apply to all Athletes, Athlete Support Personnel and other Persons. These rules or policies cover conduct that either does not constitute an anti-doping rule violation, or conduct that is, or is related to, behaviour that does constitute a possible anti-doping rule violation. Breaches of these rules or policies are managed separately by the sporting administration body, including public disclosure, suspension or termination of contracts, and consequential sanctions.

The sporting administration body's disciplinary rules or policies shall not limit or change the effect of this anti-doping policy. Where there is any ambiguity or conflict, this anti-doping policy prevails.

³ The AOC Anti-Doping By-Law is posted on the AOC website (www.olympics.com.au) under "The AOC" and "Athlete Guidelines"



Article 2 Definition of Doping - Anti-Doping Rule Violations

Doping is defined as the occurrence of one or more of the anti-doping rule violations set out in Article 2.1.1 through Article 2.10 of this Anti-Doping Policy.

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.

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

The following constitute anti-doping rule violations:

2.1 Presence of a Prohibited Substance or its Metabolites or Markers in an Athlete's Sample

- 2.1.1 It is each Athlete's personal duty to ensure that no Prohibited Substance enters his or her body. Athletes are responsible for any Prohibited Substance or its Metabolites or Markers found to be present in their Samples. Accordingly, it is not necessary that intent, Fault, negligence or knowing Use on the Athlete's part be demonstrated in order to establish an anti-doping rule violation under Article 2.1.1⁴.
- 2.1.2 Sufficient proof of an anti-doping rule violation under Article 2.1.1 is established by any of the following: presence of a Prohibited Substance or its Metabolites or Markers in the Athlete's A Sample where the Athlete waives analysis of the B Sample and the B Sample is not analysed; or, where the Athlete's B Sample is analysed and the analysis of the Athlete's B Sample confirms the presence of the Prohibited Substance or its Metabolites or Markers found in the Athlete's A Sample; or, where the Athlete's B Sample is split into two bottles and the analysis of the second bottle confirms the presence of the Prohibited Substance or its Metabolites or Markers found in the first bottle⁵.
- 2.1.3 Excepting those substances for which a quantitative threshold is specifically identified in the Prohibited List, the presence of any quantity of a Prohibited

⁴ Comment to Article 2.1: An anti-doping rule violation is committed under this Article without regard to an Athlete's Fault. This rule has been referred to in various CAS decisions as 'Strict Liability'. An Athlete's Fault is taken into consideration in determining the Consequences of this anti-doping rule violation under Article 10. This principle has consistently been upheld by CAS.

⁵ Comment to Article 2.2: The Anti-Doping Organisation with results management responsibility may, at its discretion, choose to have the B Sample analysed even if the Athlete does not request the analysis of the B Sample.



Substance or its Metabolites or Markers in an Athlete's Sample shall constitute an anti-doping rule violation.

- 2.1.4 As an exception to the general rule of Article 2.1.1, the Prohibited List or International Standards may establish special criteria for the evaluation of Prohibited Substances that can also be produced endogenously.

2.2 Use or Attempted Use by an Athlete of a Prohibited Substance or a Prohibited Method⁶

- 2.2.1 It is each Athlete's personal duty to ensure that no Prohibited Substance enters his or her body and that no Prohibited Method is Used. Accordingly, it is not necessary that intent, Fault, negligence or knowing Use on the Athlete's part be demonstrated in order to establish an anti-doping rule violation for Use of a Prohibited Substance or a Prohibited Method.
- 2.2.2 The success or failure of the Use or Attempted Use of a Prohibited Substance or Prohibited Method is not material. It is sufficient that the Prohibited Substance or Prohibited Method was Used or Attempted to be Used for an anti-doping rule violation to be committed⁷.

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 authorised in this Anti-Doping Policy, the NAD scheme or other applicable anti-doping rules⁸.

2.4 Whereabouts failures

Any combination of three missed tests and/or filing failures, as defined in the International Standard for Testing and Investigations, within a twelve-month period by an Athlete 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,

⁶ Comment to Article 2.5: It has always been the case that *Use or Attempted Use of a Prohibited Substance or Prohibited Method* may be established by any reliable means. As noted in the Comment to Article 3.2, unlike the proof required to establish an *anti-doping rule violation* under Article 2.1, *Use or Attempted Use* may also be established by other reliable means such as admissions by the *Athlete*, witness statements, documentary evidence, conclusions drawn from longitudinal profiling, including data collected as part of the *Athlete Biological Passport*, or other analytical information which does not otherwise satisfy all the requirements to establish 'Presence' of a Prohibited Substance under Article 2.1. For example, Use may be established based upon reliable analytical data from the analysis of an A Sample (without confirmation from an analysis of a B Sample) or from the analysis of a B Sample alone where the Anti-Doping Organisation provides a satisfactory explanation for the lack of confirmation in the other Sample.

⁷ Comment to Article 2.6 *Use of a Prohibited Substance or a Prohibited Method* requires proof of intent on the *Athlete's* part. The fact that intent may be required to prove this particular anti-doping rule violation does not undermine the *Strict Liability* principle established for violations of Article 2.1 and violations of Article 2.2 in respect of *Use of a Prohibited Substance or Prohibited Method*. An *Athlete's Use of a Prohibited Substance* constitutes an anti-doping rule violation unless such substance is not prohibited *Out-of-Competition* and the *Athlete's Use* takes place *Out-of-Competition*. (However, the presence of a *Prohibited Substance* or its *Metabolites* or *Markers* in a *Sample* collected *In-Competition* is a violation of Article 2.1 regardless of when that substance might have been administered.)

⁸ Comment to Article 2.7: For example, it would be an anti-doping rule violation of 'evading *Sample* collection' if it were established that an *Athlete* 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 *Athlete*, while 'evading' or 'refusing' *Sample* collection contemplates intentional conduct by the *Athlete*.



intentionally interfering or attempting to interfere with a Doping Control official, providing fraudulent information to an Anti-Doping Organisation or intimidating or attempting to intimidate a potential witness.⁹

2.6 Possession of a Prohibited Substance or a Prohibited Method

2.6.1 Possession by an Athlete In-Competition of any Prohibited Substance or any Prohibited Method, or Possession by an Athlete Out-of-Competition of any Prohibited Substance or any Prohibited Method which is prohibited Out-of-Competition unless the Athlete establishes that the Possession is consistent with a Therapeutic Use Exemption (TUE) granted in accordance with Article 4.4 or other acceptable justification.

2.6.2 Possession by an Athlete Support Person In-Competition of any Prohibited Substance or any Prohibited Method, or Possession by an Athlete Support Person Out-of-Competition of any Prohibited Substance or any Prohibited Method which is prohibited Out-of-Competition in connection with an Athlete, Competition or training, unless the Athlete Support Person establishes that the Possession is consistent with a TUE granted to an Athlete in accordance with Article 4.4 or other acceptable justification^{10,11}.

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

2.8 Administration or Attempted Administration to any Athlete In-Competition of any Prohibited Substance or Prohibited Method, or Administration or Attempted Administration to any Athlete 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 an Athlete or other Person subject to the authority of an Anti-Doping Organisation in a professional or sport-related capacity with any Athlete Support Person who:¹²

⁹ Comment to Article 2.9: 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 may be addressed in the code of conduct.

¹⁰ Comment to Articles 2.10 and 2.11: Acceptable justification would not include, for example, buying or Possessing a Prohibited Substance for purposes of giving it to a friend or relative, except under justifiable medical circumstances where that Person had a physician's prescription, for example, buying Insulin for a diabetic child.

¹¹ Comment to Article 2.11: Acceptable justification would include, for example, a team doctor carrying Prohibited Substances for dealing with acute and emergency situations.

¹² Comment to Article 2.13: *Athletes* and other *Persons* must not work with coaches, trainers, physicians or other *Athlete Support Personnel* who are *Ineligible* on account of an anti-doping rule violation or who have been criminally convicted or professionally disciplined in relation to doping. Some examples of the types of association which are prohibited include: obtaining training, strategy,



- 2.10.1 if subject to the authority of an Anti-Doping Organisation, is serving a period of Ineligibility; or
- 2.10.2 if not subject to the authority of an Anti-Doping Organisation, and where Ineligibility has not been addressed in a results management process under 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.

In order for this provision to apply, it is necessary that the Athlete or other Person has previously been advised in writing by an Anti-Doping Organisation with jurisdiction over the Athlete or other Person, or by WADA, of the Athlete Support Person's disqualifying status and the potential Consequence of prohibited association and that the Athlete or other Person can reasonably avoid the association. The Anti-Doping Organisation shall also use reasonable efforts to advise the Athlete Support Person who is the subject of the notice to the Athlete or other Person that the Athlete Support Person may, within 15 days, come forward to the Anti-Doping Organisation to explain that the criteria described in Articles 2.10.1 and 2.10.2 do not apply to him or her. (Notwithstanding Article 17, this Article applies even when the Athlete Support Person's disqualifying conduct occurred prior to the effective date provided in Article 20.7.)

The burden shall be on the Athlete or other Person to establish that any association with Athlete Support Personnel described in Article 2.10.1 or 2.10.2 is not in a professional or sport-related capacity.

Anti-Doping Organisations that are aware of Athlete Support Personnel who meet the criteria described in Article 2.10.1, 2.10.2, or 2.10.3 shall submit that information to WADA.

technique, nutrition or medical advice; obtaining therapy, treatment or prescriptions; providing any bodily products for analysis; or allowing the *Athlete Support Person* to serve as an agent or representative. Prohibited association need not involve any form of compensation.



Article 3 Proof of doping

3.1 Burdens and standards of proof

The Anti-Doping Organisation shall have the burden of establishing that an anti-doping rule violation has occurred. The standard of proof shall be whether the Anti-Doping Organisation has established an anti-doping rule violation to the comfortable satisfaction of the hearing panel bearing in mind the seriousness of the allegation which is made. This standard of proof in all cases is greater than a mere balance of probability but less than proof beyond a reasonable doubt. Where this Anti-Doping Policy places the burden of proof upon the Athlete or other Person alleged to have committed an anti-doping rule violation to rebut a presumption or establish specified facts or circumstances, the standard of proof shall be by a balance of probability¹³.

3.2 Methods of establishing facts and presumptions

Facts related to anti-doping rule violations may be established by any reliable means, including admissions. The following rules of proof shall be applicable in doping cases¹⁴:

- 3.2.1 Analytical methods or decision limits approved by WADA after consultation within the relevant scientific community and which have been the subject of peer review are presumed to be scientifically valid. Any Athlete or other Person seeking to rebut this presumption of scientific validity shall, as a condition precedent to any such challenge, first notify WADA of the challenge and the basis of the challenge. CAS on its own initiative may also inform WADA of any such challenge. At WADA's request, the CAS panel shall appoint an appropriate scientific expert to assist the panel in its evaluation of the challenge. Within 10 days of WADA's receipt of such notice, and WADA's receipt of the CAS file, WADA shall also have the right to intervene as a party, appear amicus curiae, or otherwise provide evidence in such proceeding.
- 3.2.2 WADA-accredited laboratories, and other laboratories approved by WADA, are presumed to have conducted Sample analysis and custodial procedures in accordance with the International Standard for Laboratories. The Athlete or other Person may rebut this presumption by establishing that a departure from the International Standard for Laboratories occurred which could reasonably have caused the Adverse Analytical Finding. If the Athlete or other Person rebuts the preceding presumption by showing that a departure from the International Standard for Laboratories occurred which could reasonably have caused the Adverse Analytical Finding, then the Anti-Doping Organisation shall have the burden to establish that such departure did not cause the Adverse Analytical Finding¹⁵.
- 3.2.3 Departures from any other International Standard or other anti-doping rule or policy set forth in the Code or this Anti-Doping Policy which did not cause an

¹³ Comment to Article 3.1: This standard of proof required to be met by the *Anti-Doping Organisation* is comparable to the standard which is applied in most countries to cases involving professional misconduct.

¹⁴ Comment to Article 3.2: For example, an *Anti-Doping Organisation* may establish an anti-doping rule violation under Article 2.2 based on the *Athlete's* admissions, the credible testimony of third *Persons*, reliable documentary evidence, reliable analytical data from either an *A* or *B Sample* as provided in the Comments to Article 2.5, or conclusions drawn from the profile of a series of the *Athlete's* blood or urine *Samples*, such as data from the *Athlete Biological Passport*.

¹⁵ Comment to Article 3.2.2: The burden is on the *Athlete* or other *Person* to establish, by a balance of probability, a departure from the *International Standard for Laboratories* that could reasonably have caused the *Adverse Analytical Finding*. If the *Athlete* or other *Person* does so, the burden shifts to the *Anti-Doping Organisation* to prove to the comfortable satisfaction of the hearing panel that the departure did not cause the *Adverse Analytical Finding*.



Adverse Analytical Finding or other anti-doping rule violation shall not invalidate such evidence or results.

If the Athlete or other Person establishes a departure from another International Standard or other anti-doping rule or policy which could reasonably have caused an anti-doping rule violation based on an Adverse Analytical Finding or other anti-doping rule violation, then the Anti-Doping Organisation shall have the burden to establish that such departure did not cause the Adverse Analytical Finding or the factual basis for the anti-doping rule violation.

- 3.2.4 The facts established by a decision of a court or professional disciplinary tribunal of competent jurisdiction which is not the subject of a pending appeal shall be irrebuttable evidence against the Athlete or other Person to whom the decision pertained of those facts unless the Athlete or other Person establishes that the decision violated principles of natural justice.
- 3.2.5 The hearing panel in a hearing on an anti-doping rule violation may draw an inference adverse to the Athlete or other Person who is asserted to have committed an anti-doping rule violation based on the Athlete's or other Person's refusal, after a request made in a reasonable time in advance of the hearing, to appear at the hearing (either in Person or telephonically as directed by the hearing panel) and to answer questions from the hearing panel or the Anti-Doping Organisation asserting the anti-doping rule violation.



Article 4 The Prohibited List

4.1 Incorporation, Publication and Revision of the Prohibited List¹⁶

This Anti-Doping Policy incorporates the Prohibited List which is published and revised by WADA as described in Article 4.1 of the Code as in force from time to time.

Unless provided otherwise in the Prohibited List and/or a revision, the Prohibited List and revisions shall go into effect under this Anti-Doping Policy three months after publication by WADA without requiring any further action by the Anti-Doping Organisation. All Athletes and other Persons shall be bound by the Prohibited List, and any revisions thereto, from the date they go into effect, without further formality. It is the responsibility of all Athletes and other Persons to familiarise themselves with the most up-to-date version of the Prohibited List and all revisions thereto.

4.2 Prohibited Substances and Prohibited Methods Identified on the Prohibited List¹⁷

4.2.1 *Prohibited Substances and Prohibited Methods*

The Prohibited List shall identify those Prohibited Substances and Prohibited Methods which are prohibited as doping at all times (both In-Competition and Out-of-Competition) because of their potential to enhance performance in future Competitions or their masking potential, and those substances and methods which are prohibited In-Competition only. The Prohibited List may be expanded by WADA for a particular sport. Prohibited Substances and Prohibited Methods may be included in the Prohibited List by general category (for example, anabolic agents) or by specific reference to a particular substance or method.

4.2.2 *Specified Substances*

For purposes of the application of Article 10, all Prohibited Substances shall be Specified Substances except substances in the classes of anabolic agents and hormones and those stimulants and hormone antagonists and modulators so identified on the Prohibited List. The category of Specified Substances shall not include Prohibited Methods¹⁸.

4.3 WADA's determination of the Prohibited List

WADA's determination of the Prohibited Substances and Prohibited Methods that will be included on the Prohibited List, the classification of substances into categories on the Prohibited List, and the classification of a substance as prohibited at all times or In-Competition only, is final and shall not be subject to challenge by an Athlete or other Person.

¹⁶ Comment to Article 4.1: For the sake of predictability, a new *Prohibited List* will be published every year whether or not changes have been made. WADA will always have the most current *Prohibited List* published on its website. The current *Prohibited List* is available on WADA's website at www.wada-ama.org.

¹⁷ Comment to Article 4.2: *Out-of-Competition Use* of a substance which is only prohibited *In-Competition* is not an anti-doping rule violation unless an *Adverse Analytical Finding* for the substance or its *Metabolites* or *Markers* is reported for a *Sample* collected *In-Competition*.

¹⁸ Comment to Article 4.2.2: The *Specified Substances* identified in Article 4.2.2 should not in any way be considered less important or less dangerous than other doping substances. Rather, they are simply substances which are more likely to have been consumed by an *Athlete* for a purpose other than the enhancement of sport performance.



4.4 Therapeutic Use Exemptions (TUEs)

- 4.4.1 The presence of a Prohibited Substance or its Metabolites or Markers, and/or the Use or Attempted Use, Possession or Administration or Attempted Administration of a Prohibited Substance or Prohibited Method shall not be considered an anti-doping rule violation if it is consistent with the provisions of a TUE granted in accordance with the International Standard for Therapeutic Use Exemptions.
- 4.4.2 The TUE Committee for Australia is the Australian Sports Drug Medical Advisory Committee (ASDMAC). Unless otherwise specified by ASDMAC in a notice posted on its website, any National-Level Athlete who needs to Use a Prohibited Substance or Prohibited Method for therapeutic purposes should apply to ASDMAC for a TUE as soon as the need arises and in any event (or where Article 4.3 of the International Standard for Therapeutic Use Exemptions applies in regard to retroactive TUEs) at least 30 days before the Athlete's next Competition, by completing the form on the TUE section of www.sportintegrity.gov.au with assistance from their doctor. ASDMAC will consider applications for the grant or recognition of TUEs. ASDMAC shall promptly evaluate and decide upon the application in accordance with the relevant provisions of the International Standard for Therapeutic Use Exemptions and the specific ASDMAC protocols posted on the TUE section of www.sportintegrity.gov.au. ASDMAC's decision shall be final (except as outlined in Article 4.4.6) and where ASDMAC has granted a TUE, the decision shall be reported to WADA and other relevant Anti-Doping Organisations in accordance with the International Standard for Therapeutic Use Exemptions¹⁹.
- 4.4.3 If an Anti-Doping Organisation chooses to test an Athlete who is not an International-Level or a National-Level Athlete, and that Athlete was not required to obtain a TUE in advance in accordance with 4.4.2. The Athlete may apply for a retroactive TUE for any Prohibited Substance or Prohibited Method that he/she is using for therapeutic reasons.
- 4.4.4 A TUE granted by ASDMAC is valid at national level only. An Athlete who is or becomes an International-Level Athlete should do the following:
- (a) Where the Athlete already has a TUE granted by ASDMAC for the substance or method in question, the Athlete may apply to the International federation to recognise that TUE, in accordance with Article 7 of the International Standard for Therapeutic Use Exemptions. If that TUE meets the criteria set out in the International Standard for Therapeutic Use Exemptions, then the international federation shall recognise it for purposes of International-Level Competition as well. If the international federation considers that the

¹⁹ Comment to Article 4.4.2: The submission of false or misleading information in support of a TUE application (including but not limited to the failure to advise of the unsuccessful outcome of a prior application to another *Anti-Doping Organisation* for such a TUE) may result in a charge of *Tampering* or *Attempted Tampering* under Article 2.5. An Athlete should not assume that his/her application for grant or recognition of a TUE (or for renewal of a TUE) will be granted. Any Use or Possession or administration of a *Prohibited Substance* or *Prohibited Method* before an application has been granted is entirely at the Athlete's own risk.



TUE granted by ASDMAC does not meet those criteria and so refuses to recognise it, the international federation shall notify the International-Level Athlete and ASDMAC promptly with reasons. The International-Level Athlete and ASDMAC shall have 21 days from such notification to refer the matter to WADA for review. If the matter is referred to WADA for review in accordance with Article 4.4.6, the TUE granted by ASDMAC remains valid for national-level Competition and Out-of-Competition Testing (but is not valid for International-Level Competition) pending WADA's decision. If the matter is not referred to WADA for review, the TUE becomes invalid for any purpose when the 21-day review deadline expires²⁰.

- (b) If the Athlete does not already have a TUE granted by ASDMAC for the substance or method in question, the Athlete must apply directly to the international federation for a TUE in accordance with the process set out in the International Standard for Therapeutic Use Exemptions. If the international federation grants the Athlete's application, it shall notify the Athlete and ASDMAC. If ASDMAC considers that the TUE granted by the international federation does not meet the criteria set out in the International Standard for Therapeutic Use Exemptions, it has 21 days from such notification to refer the matter to WADA for review. If ASDMAC refers the matter to WADA for review, the TUE granted by the international federation remains valid for International-Level Competition and Out-of-Competition Testing (but is not valid for national-level Competition) pending WADA's decision. If ASDMAC does not refer the matter to WADA for review, the TUE granted by the international federation becomes valid for national-level Competition as well when the 21-day review deadline expires²¹.

4.4.5 *Expiration, cancellation, withdrawal or reversal of a TUE*

- (a) A TUE granted under this Anti-Doping Policy:
- shall expire automatically at the end of any term for which it was granted, without the need for any further notice or other formality;
 - may be cancelled if the Athlete does not promptly comply with any requirements or conditions imposed by the TUE Committee upon grant of the TUE;

²⁰ Comment to Article 4.4.4(a): Further to Articles 5.6 and 7.1(a) of the International Standard for Therapeutic Use Exemptions, an international federation may publish notice on its website that it will automatically recognise TUE decisions (or categories of such decisions, for example, as to particular substances or methods) made by *National Anti-Doping Organisations*. If an Athlete's TUE falls into a category of automatically recognised TUEs, then he/she does not need to apply to his/her international federation for recognition of that TUE.

If an international federation refuses to recognise a TUE granted by ASDMAC only because medical records or other information are missing that are needed to demonstrate satisfaction of the criteria in the *International Standard for Therapeutic Use Exemptions*, the matter should not be referred to WADA. Instead, the file should be completed and re-submitted to the international federation.

²¹ Comment to Article 4.4.4(b): The international federation and ASDMAC may agree that ASDMAC will consider TUE applications on behalf of the international federation.



- may be withdrawn by the TUE Committee if it is subsequently determined that the criteria for grant of a TUE are not in fact met; or
 - may be reversed on review by WADA or on appeal.
- (b) In such event, the Athlete shall not be subject to any Consequences based on his/her Use or Possession or Administration of the Prohibited Substance or Prohibited Method in question in accordance with the TUE prior to the effective date of expiry, cancellation, withdrawal or reversal of the TUE. The review pursuant to Article 7.2 of any subsequent Adverse Analytical Finding shall include consideration of whether such finding is consistent with Use of the Prohibited Substance or Prohibited Method prior to that date, in which event no anti-doping rule violation shall be asserted.

4.4.6 *Reviews and appeals of TUE decisions*

- (a) If ASDMAC denies an application for a TUE, the Athlete may appeal exclusively to the national-level appeal body, the Therapeutic Use Exemption Review Committee (TUERC) described in Articles 13.2.2 and 13.2.3.
- (b) WADA shall review any decision by the international federation not to recognise a TUE granted by ASDMAC that is referred to WADA by the Athlete or ASDMAC. In addition, WADA shall review any decision by the international federation to grant a TUE that is referred to WADA by ASDMAC. WADA may review any other TUE decisions at any time, whether upon request by those affected or on its own initiative. If the TUE decision being reviewed meets the criteria set out in the International Standard for Therapeutic Use Exemptions, WADA will not interfere with it. If the TUE decision does not meet those criteria, WADA will reverse it.
- (c) Any TUE decision by an international federation (or by ASDMAC where it has agreed to consider the application on behalf of an international federation) that is not reviewed by WADA, or that is reviewed by WADA but is not reversed upon review, may be appealed by the Athlete or ASDMAC exclusively to CAS, in accordance with Article 13²².
- (d) A decision by WADA to reverse a TUE decision may be appealed by the Athlete, ASDMAC and/or the international federation affected exclusively to CAS, in accordance with Article 13.
- (e) A failure to take action within a reasonable time on a properly submitted application for grant recognition of a TUE or for review of a TUE decision shall be considered a denial of the application.

²² Comment to Article 4.4.6(c): In such cases, the decision being appealed is the international federation's TUE decision, not WADA's decision not to review the TUE decision or (having reviewed it) not to reverse the TUE decision. However, the time to appeal the TUE decision does not begin to run until the date that WADA communicates its decision. In any event, whether the decision has been reviewed by WADA or not, WADA shall be given notice of the appeal so that it may participate if it sees fit.



Article 5 Testing and Investigations

5.1 Purpose of Testing and investigations

Testing and investigations shall only be undertaken for anti-doping purposes. They shall be conducted in conformity with the provisions of the International Standard for Testing and Investigations and (where relevant) the requirements of the SIA Act, SIA Regulations and NAD scheme, including the Australian Government Investigations Standards.

5.1.1 All Athletes must comply with any request for Testing by an Anti-Doping Organisation with Testing jurisdiction, including SIA. Testing shall be undertaken to obtain analytical evidence as to the Athlete's compliance (or non-compliance) with the strict Code 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, Atypical Passport 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.

5.1.3 SIA may 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).

5.1.4 The sporting administration body will refer all information and intelligence relating to all instances of possible anti-doping rule violations under this Anti-Doping Policy to SIA and cooperate with any investigation by SIA as required.

5.2 Authority to conduct Testing²³

5.2.1 Any Athlete may be required to provide a Sample at any time and at any place by any Anti-Doping Organisation with Testing authority over him or her. Subject to the jurisdictional limitations for Event Testing set out in Article 5.3 of the Code, SIA shall have In-Competition and Out-of-Competition Testing authority over all of the Athletes falling within the scope of Article 1.3.

- (a) The international federation shall have In-Competition and Out-of-Competition Testing authority over all Athletes who are subject to its

²³ Comment to Article 5.2: Unless the *Athlete* has identified a 60-minute time-slot for *Testing* between the hours of 11pm and 6am, or has otherwise consented to *Testing* during that period, the *Anti-Doping Organisation* will not test an *Athlete* during that period unless it has a serious and specific suspicion that the *Athlete* may be engaged in doping. A challenge to whether the *Anti-Doping Organisation* had sufficient suspicion for *Testing* in that period shall not be a defence to an anti-doping rule violation based on such test or attempted test.



rules, including those who participate in International Events or who participate in Events governed by the rules of the international federation, or who are members or license holders of the international federation or the sporting administration body, or their member organisations or affiliates.

- 5.2.2 For the avoidance of doubt, SIA may require any Athlete over whom it has Testing authority (including any Athlete serving a period of Ineligibility) to provide a Sample at any time and at any place.
- 5.2.3 WADA shall have In-Competition and Out-of-Competition Testing authority as set out in Article 20.7.8 of the Code.
- 5.2.4 If the international federation or Major Event Organisation delegates or contracts any part of Testing to a National Anti-Doping Organisation (directly or through a National Federation), that National Anti-Doping Organisation may collect additional Samples or direct the laboratory to perform additional types of analysis at the National Anti-Doping Organisation's expense. If additional Samples are collected or additional types of analysis are performed, the international federation or Major Event Organisation shall be notified.
- 5.2.5 Where another Anti-Doping Organisation with Testing authority over an Athlete who is subject to this Anti-Doping Policy conducts Testing on that Athlete, SIA and the Athlete's National Federation shall recognise such Testing in accordance with Article 15, and (where agreed with that other Anti-Doping Organisation or otherwise provided in Article 7 of the Code) SIA may bring proceedings against the Athlete pursuant to this Anti-Doping Policy for any anti-doping rule violation(s) arising in relation to such Testing.

5.3 Event Testing

- 5.3.1 Except as provided in Article 5.3 of the Code, only a single organisation should be responsible for initiating and directing Testing at Event Venues during an Event Period. At International Events, the collection of Samples shall be initiated and directed by the international federation (or any other international organisation which is the ruling body for the Event). At National Events, the collection of Samples shall be initiated and directed by SIA. At the request of the ruling body for an Event, any Testing during the Event Period outside of the Event Venues shall be coordinated with that ruling body.
- 5.3.2 If an Anti-Doping Organisation which would otherwise have Testing authority but is not responsible for initiating and directing Testing at an Event desires to conduct Testing of Athletes at the Event Venues during the Event Period, the Anti-Doping Organisation shall first confer with the ruling body of the Event to obtain permission to conduct and coordinate such Testing. If the Anti-Doping Organisation is not satisfied with the response from the ruling body of the Event, the Anti-Doping Organisation may ask WADA for permission to conduct Testing and to determine how to coordinate such Testing, in accordance with the procedures set out in the International Standard for Testing and Investigations. WADA shall not grant approval for such Testing before consulting with and informing the ruling body for the Event. WADA's decision shall be final and not subject to appeal. Unless otherwise provided in the authorisation 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 Organisation initiating the test unless provided otherwise in the rules of the ruling body of the Event. For the avoidance of doubt, where the Anti-Doping Organisation initiating the test is the sporting administration body, Article 7.1.1 shall apply.

5.4 Athlete whereabouts information

- 5.4.1 All Athletes identified for inclusion in a Registered Testing Pool must provide accurate whereabouts information to the relevant Anti-Doping Organisation/s in accordance with the Code and International Standards, the NAD scheme, the international federation's Anti-Doping Policy, this Anti-Doping Policy, and any SIA Athlete whereabouts policy approved from time to time, and to keep this information updated at all times.
- (a) Where the Athlete is in SIA's Registered Testing Pool, the Athlete must provide whereabouts information in accordance with the requirements in the Code, International Standard for Testing and Investigation, NAD scheme and any Athlete whereabouts policy approved by SIA from time to time.
- 5.4.2 SIA shall make available, through ADAMS or another system approved by WADA, a list which identifies those Athletes included in its Registered Testing Pool by name. SIA shall coordinate with the international federation the identification of such Athletes and the collection of their whereabouts information. Where an Athlete is included in an international Registered Testing Pool by the international federation and in a national Registered Testing Pool by SIA, SIA and the international federation shall agree between themselves which of them shall accept that Athlete's whereabouts filings; in no case shall an Athlete be required to make whereabouts filings to more than one of them. SIA shall review and update as necessary its criteria for including Athletes in its Registered Testing Pool, and shall revise the membership of its Registered Testing Pool from time to time as appropriate in accordance with those criteria. Athletes shall be notified before they are included in a Registered Testing Pool and when they are removed from that pool.
- 5.4.3 For purposes of Article 2.4, an Athlete's failure to comply with the requirements of the International Standard for Testing and Investigations or any Athlete whereabouts policy approved by SIA from time to time shall be deemed a filing failure or a missed test (as defined in the International Standard for Testing and Investigations or any Athlete whereabouts policy approved by SIA from time to time) where the conditions set out in the International Standard for Testing and Investigations (or any Athlete whereabouts policy approved by SIA from time to time) for declaring a filing failure or missed test are met. Three of these filing failures in a 12 month period will constitute a possible anti-doping rule violation.
- 5.4.4 An Athlete who has been designated for inclusion in SIA's Registered Testing Pool will continue to be subject to the requirements set out in the International



Standard for Testing and Investigations or any Athlete whereabouts policy approved by SIA from time to time unless and until:

- (a) he or she retires from Competition in accordance with Article 5.4.5;
- (b) he or she has been given written notice by SIA that they are no longer in SIA's Registered Testing Pool.

5.4.5 An Athlete who is in SIA's Registered Testing Pool who wants to retire from Competition must do so by submitting to SIA a completed 'RETIREMENT NOTIFICATION FORM' available at www.sportintegrity.gov.au. An Athlete's retirement date will be the date on which SIA receives the fully completed form.

- (a) Upon receipt of a notification in accordance with Article 5.4.5, SIA will, as soon as reasonably practicable, provide the Athlete and the sporting administration body with a written confirmation of the Athlete's retirement.

5.4.6 Retirement does not:

- (a) excuse the Athlete from giving a Sample requested on or before their retirement date, or a Sample required as part of an investigation commenced prior to their retirement date;
- (b) excuse the Athlete from assisting, cooperating and liaising with SIA and other Anti-Doping Organisations in relation to the conduct of any investigation or hearing into an alleged anti-doping rule violation;
- (c) prevent the analysis of a Sample given by the Athlete on or before their retirement date;
- (d) affect the results of Testing under 5.4.6(a) or 5.4.6(b).
- (e) affect the operation of Article 1.3.1(d).

5.4.7 An Athlete who wants to retire from the Registered Testing Pool of the international federation must follow the international federation's retirement procedures.

5.4.8 Whereabouts information relating to an Athlete shall be shared with WADA and other Anti-Doping Organisations having authority to test that Athlete, shall be maintained in strict confidence at all times, shall be used exclusively for the purposes set out in Article 5.6 of the Code, and shall be destroyed in accordance with the International Standard for the Protection of Privacy and Personal Information, the Australian Privacy Principles and the Archives Act 1983 (Cth) once it is no longer relevant for these purposes.

5.5 Retired Athletes returning to competition

5.5.1 If an International or National-Level Athlete in a Registered Testing Pool retires and then wishes to return to active participation in sport, the Athlete shall not compete in International Events or National Events until the Athlete has made himself or herself available for Testing, by giving six months prior written notice to the international federation, where applicable, and SIA. WADA, in consultation with the international federation and SIA, may grant an exemption to the six-month written notice rule where the strict application of that rule would be



manifestly unfair to an Athlete. This decision may be appealed under Article 13. Any competitive results obtained in violation of this Article 5.5.1 shall be Disqualified.

- 5.5.2 If an Athlete retires from sport while subject to a period of Ineligibility the Athlete shall not resume competing in International Events or National Events until the Athlete has given six months prior written notice (or notice equivalent to the period of Ineligibility remaining as of the date the Athlete retired, if that period was longer than six months) to SIA and to the international federation, where applicable of his/her intent to resume competing and has made him/herself available for Testing for that notice period, including (if requested) complying with the whereabouts requirements of Annex I to the International Standard for Testing and Investigations.



Article 6 Analysis of Samples

Samples shall be analysed in accordance with the following principles.

6.1 Use of accredited and approved laboratories²⁴

For purposes of Article 2.1, Samples shall be analysed only in laboratories accredited or otherwise approved by WADA. The choice of the WADA-accredited or WADA-approved laboratory used for the Sample analysis shall be determined exclusively by the Anti-Doping Organisation responsible for results management.

6.2 Purpose of analysis of samples²⁵

- 6.2.1 Samples shall be analysed to detect Prohibited Substances and Prohibited Methods and other substances as may be directed by WADA under the monitoring program described in Article 4.5 of the Code; or to assist in profiling relevant parameters in an Athlete'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.
- 6.2.2 An Anti-Doping Organisation shall ask laboratories to analyse Samples in conformity with Article 6.4 of the Code and Article 4.7 of the International Standard for Testing and Investigations.

6.3 Research on Samples

No Sample may be used for research without the Athlete's written consent. Samples used for purposes other than Article 6.2 shall have any means of identification removed such that they cannot be traced back to a particular Athlete.

6.4 Standards for Sample analysis and reporting²⁶

Laboratories shall analyse Samples and report results in conformity with the International Standard for Laboratories. To ensure effective Testing, the Technical Document referenced at Article 5.4.1 of the Code will establish risk assessment-based Sample analysis menus appropriate for particular sports and sport disciplines, and laboratories shall analyse Samples in conformity with those menus, except as follows:

- 6.4.1 An Anti-Doping Organisation may request that laboratories analyse its Samples using more extensive menus than those described in the Technical Document.
- 6.4.2 Anti-Doping Organisations may request that laboratories analyse its Samples using less extensive menus than those described in the Technical Document only if they have satisfied WADA that, because of the particular circumstances of

²⁴ Comment to Article 6.1: Violations of Article 2.1 may be established only by *Sample* analysis performed by a laboratory accredited or otherwise approved by WADA. Violations of other Articles may be established using analytical results from other laboratories so long as the results are reliable.

²⁵ 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.

²⁶ Comment to Article 6.4: The objective of this Article is to extend the principle of 'intelligent *Testing*' to the *Sample* analysis menu so as to most effectively and efficiently detect doping. It is recognised that the resources available to fight doping are limited and that increasing the *Sample* analysis menu may, in some sports and countries, reduce the number of *Samples* which can be analysed.



its country or of the sport in question, as set out in their 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 analyse Samples for Prohibited Substances or Prohibited Methods not included on the Sample analysis menu described in the Technical Document or specified by the Testing authority. 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

Any Sample may be subject to further analysis by the Anti-Doping Organisation responsible for results management 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 Anti-Doping Organisation to the Athlete as the asserted basis for an Article 2.1 anti-doping rule violation.

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 Anti-Doping Organisation that initiated and directed Sample collection or WADA. (Any Sample storage 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 International Standard for Testing and Investigations.



Article 6A Non-Analytical Investigation Process

6A.1 Obligation on Persons

When the sporting administration body or any Person bound by this Anti-Doping Policy has information relevant to a possible anti-doping rule violation, that Person must immediately pass such information to SIA.

6A.1.1 The sporting administration body or the Person must act in a discreet and confidential manner in discharging their obligations under this Anti-Doping Policy. The deliberate or wilful withholding of information relevant to a potential anti-doping rule violation by an Athlete or other Person may constitute an anti-doping rule violation or a breach to be dealt with under the sporting administration body's disciplinary rules or policies (where applicable).

6A.2 Roles and responsibilities of other parties

Where an investigation is required to determine whether an anti-doping rule violation may have occurred under this Anti-Doping Policy, unless otherwise agreed between SIA and the sporting administration body, SIA will conduct the investigation.

6A.2.1 Where SIA believes it is appropriate to do so, SIA may, in its discretion, advise the sporting administration body of an SIA investigation. SIA may also consult affected or interested parties about their participation in any investigation.

6A.2.2 Where SIA does agree to the sporting administration body commencing its own investigation, the sporting administration body must do so in coordination with any investigation being undertaken by SIA and seek SIA's input into such investigation undertaken by the sporting administration body;

6A.2.3 All Persons bound by this Anti-Doping Policy and the sporting administration body must assist, cooperate, and liaise with SIA in relation to any investigation into a potential anti-doping rule violation (or the sporting administration body where it has approval by SIA to conduct its own investigation or be involved in an SIA investigation). Specifically, all Persons must cooperate with and assist SIA or the sporting administration body (where relevant), including by:

- (a) attending an interview to fully and truthfully answer questions;
- (b) giving information; and
- (c) producing documents or things;

in an investigation being conducted by SIA or the sporting administration body (where relevant), even if to do so might tend to incriminate them or expose them to a penalty, sanction or other disciplinary measure.

For the avoidance of doubt, the common law privileges against self-incrimination and self-exposure to a penalty are abrogated by this Article.



Article 7 Results Management

7.1 Responsibility for conducting results management

- 7.1.1 SIA shall take responsibility for results management of all potential anti-doping rule violations under this Anti-Doping Policy in accordance with Article 7 of the Code, the SIA Act, the SIA Regulations, and the NAD scheme as in force from time to time. This includes any matters referred to the sporting administration body by other Anti-Doping Organisations for results management.
- 7.1.2 Where SIA elects to collect additional Samples in the circumstances set out in Article 5.2.4, then it shall be considered the Anti-Doping Organisation that initiated and directed Sample collection and will have results management responsibility. However, where SIA only directs the laboratory to perform additional types of analysis at SIA's expense, then the international federation or Major Event Organisation shall be considered the Anti-Doping Organisation that initiated and directed Sample collection and will have results management responsibility.
- 7.1.3 If a dispute arises between Anti-Doping Organisations over which of them has results management responsibility, WADA shall decide which Anti-Doping Organisation has such responsibility. WADA's decision may be appealed to CAS within 7 days of notification of the WADA decision by any of the Anti-Doping Organisations involved in the dispute. The appeal shall be dealt with by CAS in an expedited manner and shall be heard before a single arbitrator.

7.2 Review regarding Adverse Analytical Findings

Results management in respect of the results of tests initiated by an Anti-Doping Organisation shall proceed as follows:

- 7.2.1 Upon receipt of an Adverse Analytical Finding, SIA shall conduct a review to determine whether:
- (a) an applicable TUE has been granted or will be granted as provided in the International Standard for Therapeutic Use Exemptions, or
 - (b) there is any apparent departure from the International Standard for Testing and Investigations or International Standard for Laboratories that caused the Adverse Analytical Finding.
- 7.2.2 If the review of an Adverse Analytical Finding under Article 7.2.1 reveals an applicable TUE or departure from the International Standard for Testing and Investigations or the International Standard for Laboratories that caused the Adverse Analytical Finding, the entire test shall be considered negative. SIA will inform, in accordance with the Code and the NAD scheme, the Athlete, the international federation, the sporting administration body and WADA.

7.3 Notification after review regarding Adverse Analytical Findings

- 7.3.1 If the review of an Adverse Analytical Finding under Article 7.2.1 reveals an applicable TUE or departure from the International Standard for does not reveal an applicable TUE or entitlement to a TUE as provided in the International



Standard for Therapeutic Use Exemptions, or departure from the International Standard for Testing and Investigations or the International Standard for Laboratories that caused the Adverse Analytical Finding, SIA shall promptly notify the Athlete, and simultaneously the international federation, the sporting administration body and WADA in the manner set out in Article 14.1, of:

- (a) the Adverse Analytical Finding;
- (b) the anti-doping rule violated;
- (c) the Athlete's right to request the analysis of the B Sample or, failing such request by the specified deadline, that the B Sample analysis may be deemed waived;
- (d) the scheduled date, time and place for the B Sample analysis if the Athlete or SIA chooses to request an analysis of the B Sample;
- (e) the opportunity for the Athlete and/or the Athlete's representative to attend the B Sample opening and analysis in accordance with the International Standard for Laboratories; and
- (f) the Athlete's right to request copies of the A and B Sample laboratory documentation package which includes information as required by the International Standard for Laboratories.

If SIA decides not to bring forward the Adverse Analytical Finding as an anti-doping rule violation, it will notify the Athlete, the international federation, the sporting administration body and WADA.

In all cases where an Athlete has been notified of an asserted anti-doping rule violation that does not result in a mandatory Provisional Suspension under Article 7.9.1, the Athlete shall be offered the opportunity to accept a Provisional Suspension pending the resolution of the matter.

- 7.3.2 Where requested by the Athlete or SIA (or another Anti-Doping Organisation) arrangements shall be made to analyse the B Sample in accordance with the International Standard for Laboratories. An Athlete may accept the A Sample analytical results by waiving the requirement for B Sample analysis. SIA may nonetheless elect to proceed with the B Sample analysis even where the Athlete has waived this requirement.
- 7.3.3 The Athlete and/or his representative shall be allowed to be present at the analysis of the B Sample. Also, a representative of SIA shall be allowed to be present.
- 7.3.4 If the B Sample analysis does not confirm the A Sample analysis, then (unless SIA takes the case forward as an anti-doping rule violation under Article 2.2) the entire test shall be considered negative and the Athlete, the international federation, the sporting administration body and WADA shall be so informed.
- 7.3.5 If the B Sample analysis confirms the A Sample analysis, the findings shall be reported to the Athlete, the international federation, the sporting administration body, and WADA in accordance with the Code and the NAD scheme.



7.4 Review of Atypical Findings

- 7.4.1 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; that is, as findings that are subject to further investigation.
- 7.4.2 Upon receipt of an Atypical Finding, SIA shall conduct a review to determine whether:
- (a) an applicable TUE has been granted or will be granted as provided in the International Standard for Therapeutic Use Exemptions, or
 - (b) there is any apparent departure from the International Standard for Testing and Investigations or International Standard for Laboratories that caused the Atypical Finding.
- 7.4.3 If the review of an Atypical Finding under Article 7.4.2 reveals an applicable TUE or a departure from the International Standard for Testing and Investigations or the International Standard for Laboratories that caused the Atypical Finding, the entire test shall be considered negative and the Athlete, the international federation and WADA shall be so informed in accordance with the Code and the NAD scheme.
- 7.4.4 If that review does not reveal an applicable TUE or a departure from the International Standard for Testing and Investigations or the International Standard for Laboratories that caused the Atypical Finding, SIA shall conduct the required investigation or cause it to be conducted. After the investigation is completed, either the Atypical Finding will be brought forward as an Adverse Analytical Finding, in accordance with the Code and the NAD scheme and this Anti-Doping Policy, or else the Athlete, the international federation, the sporting administration body and WADA shall be notified that the Atypical Finding will not be brought forward as an Adverse Analytical Finding.
- 7.4.5 SIA will not provide notice of an Atypical Finding until it has completed its investigation and has decided whether it will bring the Atypical Finding forward as an Adverse Analytical Finding unless one of the following circumstances exists:
- (a) If SIA determines the B Sample should be analysed prior to the conclusion of its investigation, it may conduct the B Sample analysis after notifying the Athlete, with such notice to include a description of the Atypical Finding and the information described in Article 7.3.17.3.1(d) - 7.3.1(f).
 - (b) If SIA is asked:
 - (i) by a Major Event Organisation shortly before one of its International Events, or
 - (ii) by a sport organisation responsible for meeting an imminent deadline for selecting team members for an International Event,



to disclose whether any Athlete identified on a list provided by the Major Event Organisation or sport organisation has a pending Atypical Finding, SIA shall so advise the Major Event Organisation or sports organisation after first providing notice of the Atypical Finding to the Athlete.

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 International Standard for Testing and Investigations and International Standard for Laboratories. At such time as SIA is satisfied that an anti-doping rule violation has occurred, it shall promptly give the Athlete (and simultaneously, the international federation, the sporting administration body and WADA) notice of the anti-doping rule violation asserted and the basis of that assertion.

7.6 Review of whereabouts failures

SIA shall review potential filing failures and missed tests (as defined in the International Standard for Testing and Investigations and any Athlete whereabouts policy approved by SIA from time to time) in respect of Athletes who file their whereabouts information with SIA, in accordance with Annex I to the International Standard for Testing and Investigations. At such time as SIA is satisfied that an Article 2.4 anti-doping rule violation has occurred, it shall promptly give the Athlete (and simultaneously, the international federation, the sporting administration body, and WADA) notice that it is asserting a violation of Article 2.4 and the basis of that assertion.

7.7 Review of other anti-doping rule violations not covered by Articles 7.2 to 7.6

SIA shall conduct any follow-up investigation required into a possible anti-doping rule violation not covered by Articles 7.2 to 7.6. At such time as SIA is satisfied that an anti-doping rule violation has occurred and SIA has completed all necessary steps as required by the NAD scheme, it shall promptly give the Athlete or other Person (and simultaneously the international federation, the sporting administration body, and WADA) notice of the anti-doping rule violation asserted, and the basis of that assertion.

7.8 Identification of prior Anti-Doping Rule Violations

7.8.1 Before giving an Athlete or other Person notice of an asserted anti-doping rule violation, SIA shall refer to its own records as well as ADAMS, and contact WADA and other relevant Anti-Doping Organisations to determine whether any prior anti-doping rule violation exists.

7.9 Provisional Suspensions²⁷

7.9.1 **Mandatory Provisional Suspension:** If analysis of an A Sample has resulted in an Adverse Analytical Finding for a Prohibited Substance that is not a Specified Substance, or for a Prohibited Method, and a review in accordance with Article 7.2.2 does not reveal an applicable TUE or departure from the International Standard for Testing and Investigations or the International

²⁷ Comment to Article 7.9: Athletes and other Persons shall receive credit for a Provisional Suspension against any period of Ineligibility which is ultimately imposed. See Articles 10.11.3(a) and 10.11.3(b).



Standard for Laboratories that caused the Adverse Analytical Finding, a Provisional Suspension shall be imposed by the sporting administration body upon, or promptly after, the notification described in Articles 7.2, 7.3 or 7.5.

7.9.2 **Optional Provisional Suspension:** In the case of an Adverse Analytical Finding for a Specified Substance, or in the case of any other anti-doping rule violations not covered by Article 7.9.1, the sporting administration body may impose a Provisional Suspension on the Athlete or other Person against whom the anti-doping rule violation is asserted at any time after the review and notification described in Articles 7.2 to 7.7 and prior to the final hearing as described in Article 8.

7.9.3 Where a Provisional Suspension is imposed under Article 7.9.1 or Article 7.9.2, the Athlete or other Person shall be given either:

- an opportunity for a Provisional Hearing either before or on a timely basis after imposition of the Provisional Suspension; or
- an opportunity for an expedited final hearing in accordance with Article 8 on a timely basis after imposition of the Provisional Suspension. Furthermore, the Athlete or other Person has a right to appeal the Provisional Suspension in accordance with Article 13.2 (except as set out in Article 7.9.3(a)).

(a) The Provisional Suspension may be lifted if the Athlete demonstrates to the hearing panel that the violation is likely to have involved a Contaminated Product. A hearing panel's decision not to lift a mandatory Provisional Suspension on account of the Athlete's assertion regarding a Contaminated Product shall not be appealable.

(b) The Provisional Suspension shall be imposed (or shall not be lifted) unless the Athlete or other Person establishes at a Provisional Hearing that:

- the assertion of an anti-doping rule violation has no reasonable prospect of being upheld, for example, because of a patent flaw in the case against the Athlete or other Person;
- the Athlete or other Person has a strong arguable case that he/she bears No Fault or Negligence for the anti-doping rule violation(s) asserted, so that any period of Ineligibility that might otherwise be imposed for such a violation is likely to be completely eliminated by application of Article 10.4; or
- some other facts exist that make it clearly unfair, in all of the circumstances, to impose a Provisional Suspension prior to a final hearing in accordance with Article 8. This ground is to be construed narrowly, and applied only in truly exceptional circumstances. For example, the fact that the Provisional Suspension would prevent the Athlete or other Person participating in a particular Competition or Event



shall not qualify as exceptional circumstances for these purposes.

- 7.9.4 If a Provisional Suspension is imposed based on an A Sample Adverse Analytical Finding and subsequent analysis of the B Sample does not confirm the A Sample analysis, then the Athlete shall not be subject to any further Provisional Suspension on account of a violation of Article 2.1. In circumstances where the Athlete (or the Athlete's team) has been removed from a Competition based on a violation of Article 2.1 and the subsequent B Sample analysis does not confirm the A Sample finding, then if it is still possible for the Athlete or team to be reinstated without otherwise affecting the Competition, the Athlete or team may continue to take part in the Competition. In addition, the Athlete or team may thereafter take part in other Competitions in the same Event.
- 7.9.5 In all cases where an Athlete or other Person has been notified of an asserted anti-doping rule violation but a Provisional Suspension has not been imposed on him or her, the Athlete or other Person shall be offered the opportunity to accept a Provisional Suspension voluntarily pending the resolution of the matter.

7.9A Infraction Notices

Once the SIA CEO makes an assertion of a possible anti-doping rule violation in accordance with the SIA Act and NAD scheme, unless otherwise agreed in writing between SIA and the sporting administration body, SIA will:

- 7.9A.1 notify the Athlete or Athlete Support Person, the sporting administration body, the international federation, WADA, and relevant Anti-Doping Organisations of the assertion;
- 7.9A.2 issue the Athlete or Athlete Support Person with an Infraction Notice under this Article. The Infraction Notice will:
- (a) notify the Person of the asserted anti-doping rule violations under this Anti-Doping Policy and the basis for the violation;
 - (b) state that the Person has a right to a hearing in relation to the asserted anti-doping rule violation/s;
 - (c) state that if the Person elects to have a hearing, the Person must file their application (however described) for a hearing with the NST within 14 days of receipt of the infraction notice;
 - (d) state that if the Person does not respond within 14 days of receipt of the infraction notice, or files an application for a hearing in the NST after the end of the 14 days referred to in 7.9A.2(c), they will be deemed to have waived their right to a hearing and the sporting administration body, in consultation with SIA and other relevant parties, where applicable, may apply a sanction in accordance with Article 10; and
 - (e) be provided to the Athlete or Athlete Support Person, the sporting administration body, the international federation, WADA, and relevant Anti-Doping Organisation in accordance with the Code.



Note: Athletes and other Persons are responsible for keeping their contact details up to date with the sporting administration body. Delivery to the last known address is sufficient in circumstances where the current whereabouts of the Person are not known. In addition, members of the sporting administration body should refer to Article 14.1.1.

7.9B Athletes who are neither National-Level Athletes nor International-Level Athletes (Lower-Level Athletes)

7.9B.1 In the case where the SIA CEO decides, under the NAD scheme, that a possible non-presence anti-doping rule violation (except a violation of Article 2.3 or Article 2.5) by a Lower-Level Athlete does not warrant action, the SIA CEO may give written notification to the sporting administration body so it can consider whether disciplinary or other action should be taken against the Lower-Level Athlete.

The CEO's written notification may recommend that the sporting administration body take certain action against the Lower-Level Athlete, including, but not limited to: requiring the Lower-Level Athlete to undertake anti-doping education; taking disciplinary action against the Lower-Level Athlete under the sporting administration body's disciplinary rules or policies.

7.10 Resolution without a hearing

7.10.1 An Athlete or other Person against whom an anti-doping rule violation is asserted may admit that violation at any time, waive a hearing, and accept the Consequences that are mandated by this Anti-Doping Policy or (where some discretion as to Consequences exists under this Anti-Doping Policy) that have been offered by SIA or the sporting administration body.

7.10.2 Alternatively, if the Athlete or other Person against whom an anti-doping rule violation is asserted fails to dispute that assertion within the deadline specified in the Infraction Notice sent by SIA asserting the violation, then he/she shall be deemed to have admitted the violation, to have waived a hearing, and to have accepted the Consequences that are mandated by this Anti-Doping Policy or (where some discretion as to Consequences exists under this Anti-Doping Policy) that have been offered by SIA or the sporting administration body.

7.10.3 In cases where Article 7.10.1 or Article 7.10.2 applies, a hearing before a hearing panel shall not be required. Instead the sporting administration body, in consultation with SIA, shall promptly issue a written decision confirming the commission of the anti-doping rule violation(s) and the Consequences imposed as a result, and setting out the reasons for any period of Ineligibility imposed, including (if applicable) a justification for why the maximum potential period of Ineligibility was not imposed. The sporting administration body shall send copies of that decision to other Anti-Doping Organisations with a right to appeal under Article 13.2.3, and shall Publicly Disclose that decision in accordance with Article 14.3.2.

7.11 Notification of results management decisions

In all cases where SIA or the sporting administration body (where relevant) has asserted the commission of an anti-doping rule violation, withdrawn the assertion of an anti-doping



rule violation, imposed a Provisional Suspension, or agreed with an Athlete or other Person on the imposition of Consequences without a hearing, SIA or the sporting administration body (where relevant) shall give notice thereof in accordance with Article 14.2.1 to other Anti-Doping Organisations with a right to appeal under Article 13.2.3.

7.12 Retirement from sport ²⁸

If an Athlete or other Person retires while SIA (or another Anti-Doping Organisation) is conducting the results management process, SIA (or the other Anti-Doping Organisation) retains jurisdiction to complete its results management and hearing and appeals process. If an Athlete or other Person retires before any results management process has begun, and SIA or another Anti-Doping Organisation would have had results management authority over the Athlete or other Person at the time the Athlete or other Person committed an anti-doping rule violation, SIA or another Anti-Doping Organisation has authority to conduct results management in respect of that anti-doping rule violation.

²⁸ Comment to Article 7.12: Conduct by an *Athlete* or other *Person* before the *Athlete* or other *Person* was subject to the jurisdiction of any *Anti-Doping Organisation* would not constitute an anti-doping rule violation but could be a legitimate basis for denying the *Athlete* or other *Person* membership in a sports organisation.



Article 8 Right to a fair hearing

8.1 Fair hearings

Any Person who is asserted to have committed an anti-doping rule violation under this Anti-Doping Policy is entitled to a hearing process. Such hearing process shall address whether an anti-doping rule violation was committed and, if so, the appropriate Consequences. All hearings conducted under this Article 8 will respect the following principles:

- 8.1.1 a timely hearing;
- 8.1.2 a fair and impartial hearing body;
- 8.1.3 the right to representation at the Person's own expense;
- 8.1.4 a timely, written, reasoned decision.

Subject to these principles, the hearing will be conducted in the manner that the hearing body determines is appropriate, with as little formality and technicality, and as quickly as proper consideration of the issues permit.

8.2 Event hearings

Hearings held in connection with Events may be conducted by an expedited process as permitted by the rules of the relevant Anti-Doping Organisation and the hearing panel.

8.3 Waiver of hearing

The right to a hearing may be waived either expressly or by the Athlete's or other Person's failure to challenge SIA's assertion that an anti-doping rule violation has occurred within the specific time period provided in the infraction notice issued under Article 7.9A.

8.4 Establishment of hearings

- 8.4.1 The Article 8 hearing body for the purposes of this Anti-Doping Policy at first instance is the NST. Subject to Article 13.2, any appeal from a first-instance decision will be heard initially by the Appeals Division of the NST. Any appeal from the Appeals Division of the NST will be heard by the Appeals Division of CAS in accordance with the provisions applicable before such court.
- 8.4.2 Should a Person elect to have a hearing in accordance with Article 8 or Article 7.9.3, the Person will be responsible for filing their application for a hearing with the NST, and paying any applicable fees.
- 8.4.3 SIA and the sporting administration body are both entitled to present evidence, file submissions, cross-examine witnesses and do any other thing necessary for the enforcement of this Anti-Doping Policy at any hearing under this Article. Unless otherwise agreed in writing between SIA and the Sporting Administration Body, SIA will take the lead in presenting the matter in any hearing.

8.5 Right to attend hearings

The international federation, WADA and, where applicable, Sport Australia (the Australian Sports Commission), the Australian Olympic Committee, Paralympics Australia (Australian Paralympic Committee), Commonwealth Games Australia, relevant State Institutes of



Sport/State Academies of Sport and WADA shall have the right to attend hearings as an observer or an interested or affected party.

The process for informing those relevant parties of such right to attend as an observer or interested/affected party as applicable is set out in the National Sports Tribunal (Practice and Procedure) Determination 2020.

8.6 NST determination

8.6.1 The NST will determine:

- (a) if the Person has committed a violation of this Anti-Doping Policy;
- (b) if so, what Consequences will apply (including the start date for any period of Ineligibility); and
- (c) any other issues such as, but not limited to, reimbursement of funding provided to the Athlete or other Person by a sport organisation.

8.6.2 Consequences will be in accordance with Article 10.

8.7 Public disclosure of hearing outcomes

SIA and the sporting administration body shall report the outcome of all anti-doping rule violations in accordance with the Code, the SIA Act and the NAD scheme, and this Anti-Doping Policy, as in force from time to time.

8.8 Appeals and review

Decisions by the NST at first instance may be appealed as provided in Article 13.

8.9 Use of information arising during hearings

If, during a hearing, a party to the hearing process implicates a third party in a potential anti-doping rule violation, then SIA (or any other Anti-Doping Organisation) may use any such information that arises as a result of that hearing process without having to first seek the permission of CAS or the parties. In the case of CAS, this clause overrides R43 and R59 of the CAS Code of Sports-related Arbitration to the extent of any inconsistency. In the case of the NST, this clause operates subject to any relevant confidentiality direction made by an NST member.²⁹

²⁹ Section 41 of the *National Sports Tribunal (Practice and Procedure) Determination 2020* provides for an NST member to give directions for the confidentiality of information before the NST.



Article 9 Automatic disqualification of individual results³⁰

An anti-doping rule violation in Individual Sports in connection with an In-Competition test automatically leads to Disqualification of the result obtained in that Competition with all resulting Consequences, including forfeiture of any medals, points and prizes.

³⁰ Comment to Article 9: For *Team Sports*, any awards received by individual players will be *Disqualified*. However, *Disqualification* of the team will be as provided in Article 11. In sports which are not *Team Sports* but where awards are given to teams, *Disqualification* or other disciplinary action against the team when one or more team members have committed an anti-doping rule violation shall be as provided in the applicable rules of the international federation.



Article 10 Sanctions on individuals³¹

10.1 Disqualification of results in the Event during which an anti-doping rule violation occurs³²

An anti-doping rule violation occurring during, or in connection with, an Event may, upon the decision of the ruling body of the Event, lead to Disqualification of all of the Athlete's individual results obtained in that Event with all Consequences, including forfeiture of all medals, points and prizes, except as provided in Article 10.1.1.

Factors to be included in considering whether to Disqualify other results in an Event might include, for example, the seriousness of the Athlete's anti-doping rule violation and whether the Athlete tested negative in the other Competitions.

10.1.1 If the Athlete establishes that he or she bears No Fault or Negligence for the violation, the Athlete's individual results in the other Competitions shall not be Disqualified, unless the Athlete's results in Competitions other than the Competition in which the anti-doping rule violation occurred were likely to have been affected by the Athlete's anti-doping rule violation.

10.2 Ineligibility for Presence, Use or Attempted Use, or Possession of a Prohibited Substance or Prohibited Method

The period of Ineligibility for a violation of Articles 2.1, 2.2 or 2.6 shall be as follows, subject to potential reduction or suspension under Articles 10.4, 10.5 or 10.6:

10.2.1 The period of Ineligibility shall be four years where:

- (a) The anti-doping rule violation does not involve a Specified Substance, unless the Athlete or other Person can establish that the anti-doping rule violation was not intentional.
- (b) The anti-doping rule violation involves a Specified Substance and SIA can establish that the anti-doping rule violation was intentional.

10.2.2 If Article 10.2.1 does not apply, the period of Ineligibility shall be two years.

10.2.3 As used in Articles 10.2 and 10.3, the term 'intentional' is meant to identify those Athletes who cheat. The term, therefore, requires that the Athlete or other Person engaged in conduct which he or she knew constituted an anti-doping rule violation or knew that there was a significant risk that the conduct might constitute or result in an anti-doping rule violation and manifestly disregarded

³¹ Comment to Article 10: Harmonisation of sanctions has been one of the most discussed and debated areas of anti-doping. Harmonisation means that the same rules and criteria are applied to assess the unique facts of each case. Arguments against requiring harmonisation of sanctions are based on differences between sports including, for example, the following: in some sports the Athletes are professionals making a sizable income from the sport and in others the Athletes are true amateurs; in those sports where an Athlete's career is short, a standard period of *Ineligibility* has a much more significant effect on the Athlete than in sports where careers are traditionally much longer. A primary argument in favour of harmonisation is that it is simply not right that two Athletes from the same country who test positive for the same *Prohibited Substance* under similar circumstances should receive different sanctions only because they participate in different sports. In addition, flexibility in sanctioning has often been viewed as an unacceptable opportunity for some sporting organisations to be more lenient with dopers. The lack of harmonisation of sanctions has also frequently been the source of jurisdictional conflicts between *international federations* and *National Anti-Doping Organisations*.

³² Comment to Article 10.1: Whereas Article 9 *Disqualifies* the result in a single *Competition* in which the Athlete tested positive (for example the 100 metre backstroke), this Article may lead to *Disqualification* of all results in all races during the *Event* (for example the FINA World Championships).



that risk. An anti-doping rule violation resulting from an Adverse Analytical Finding for a substance which is only prohibited In-Competition shall be rebuttably presumed to be not 'intentional' if the substance is a Specified Substance and the Athlete can establish that the Prohibited Substance was Used Out-of-Competition. An anti-doping rule violation resulting from an Adverse Analytical Finding for a substance which is only prohibited In-Competition shall not be considered 'intentional' if the substance is not a Specified Substance and the Athlete can establish that the Prohibited Substance was Used Out-of-Competition in a context unrelated to sport performance.

10.3 Ineligibility for other anti-doping rule violations

The period of Ineligibility for anti-doping rule violations other than as provided in Article 10.2 shall be as follows, unless Articles 10.5 or 10.6 are applicable:

- 10.3.1 For violations of Article 2.3 or Article 2.5, the period of Ineligibility shall be four years unless, in the case of failing to submit to Sample collection, the Athlete can establish that the commission of the anti-doping rule violation was not intentional (as defined in Article 10.2.3), in which case the period of Ineligibility shall be two years.
- 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 Athlete's degree of Fault. The flexibility between two years and one year of Ineligibility in this Article is not available to Athletes where a pattern of last-minute whereabouts changes or other conduct raises a serious suspicion that the Athlete was trying to avoid being available for Testing.
- 10.3.3 For violations of Article 2.7 or 2.8, the period of Ineligibility shall be a minimum of four years up to lifetime Ineligibility, depending on the seriousness of the violation. An Article 2.7 or Article 2.8 violation involving a Minor shall be considered a particularly serious violation and, if committed by Athlete Support Personnel for violations other than for Specified Substances, shall result in lifetime Ineligibility for Athlete Support Personnel. In addition, significant violations of Article 2.7 or 2.8 which may also violate non-sporting laws and regulations shall be reported to the competent administrative, professional or judicial authorities³³.
- 10.3.4 For violations of Article 2.9, the period of Ineligibility imposed shall be a minimum of two years, up to four years, depending on the seriousness of the violation.
- 10.3.5 For violations of Article 2.10, the period of Ineligibility shall be two years, subject to reduction down to a minimum of one year, depending on the Athlete or other Person's degree of Fault and other circumstances of the case³⁴.

³³ Comment to Article 10.3.3: Those who are involved in doping *Athletes* or covering up doping should be subject to sanctions which are more severe than the *Athletes* who test positive. Since the authority of sport organisations is generally limited to *Ineligibility* for accreditation, membership and other sport benefits, reporting *Athlete Support Personnel* to competent authorities is an important step in the deterrence of doping.

³⁴ Comment to Article 10.3.5: Where the 'other Person' referenced in Article 2.10 is an entity and not an individual, that entity may be disciplined as provided in Article 12.



10.4 Elimination of the period of Ineligibility where there is No Fault or Negligence³⁵

If an Athlete or other Person establishes in an individual case that he or she bears No Fault or Negligence, then the otherwise applicable period of Ineligibility shall be eliminated.

10.5 Reduction of the period of Ineligibility based on No Significant Fault or Negligence

10.5.1 Reduction of sanctions for Specified Substances or Contaminated Products for Violations of Article 2.1, 2.2 or 2.6.

(a) *Specified Substances*

Where the anti-doping rule violation involves a Specified Substance, and the Athlete or other Person can establish No Significant Fault or Negligence, then the period of Ineligibility shall be, at a minimum, a reprimand and no period of Ineligibility and, at a maximum, two years of Ineligibility, depending on the Athlete's or other Person's degree of Fault.

(b) *Contaminated Products*

In cases where the Athlete or other Person can establish No Significant Fault or Negligence and the detected Prohibited Substance came from a Contaminated Product, then the period of Ineligibility shall be, at a minimum, a reprimand and no period of Ineligibility and, at a maximum, two years' Ineligibility, depending on the Athlete's or other Person's degree of Fault³⁶.

10.5.2 Application of No Significant Fault or Negligence beyond the application of Article 10.5.1

If an Athlete or other Person establishes in an individual case where Article 10.5.1 is not applicable, that he or she bears No Significant Fault or Negligence, then, subject to further reduction or elimination as provided in Article 10.6, the otherwise applicable period of Ineligibility may be reduced based on the Athlete or other Person's degree of Fault, but the reduced period of Ineligibility may not be less than one-half of the period of Ineligibility otherwise applicable. If the otherwise applicable period of Ineligibility is a lifetime, the reduced period under this Article may be no less than eight years³⁷.

³⁵ Comment to Article 10.4: This Article and Article 10.5.2 apply only to the imposition of sanctions; they are not applicable to the determination of whether an anti-doping rule violation has occurred. They will only apply in exceptional circumstances, for example where an Athlete could prove that, despite all due care, he or she was sabotaged by a competitor. Conversely, *No Fault or Negligence* would not apply in the following circumstances: (a) a positive test resulting from a mislabelled or contaminated vitamin or nutritional supplement (*Athletes* are responsible for what they ingest (Article 2.1.1) and have been warned against the possibility of supplement contamination); (b) the *Administration* of a *Prohibited Substance* by the *Athlete's Personal* physician or trainer without disclosure to the *Athlete* (*Athletes* are responsible for their choice of medical *Personnel* and for advising medical *Personnel* that they cannot be given any *Prohibited Substance*); and (c) sabotage of the *Athlete's* food or drink by a spouse, coach or other *Person* within the *Athlete's* circle of associates (*Athletes* are responsible for what they ingest and for the conduct of those *Persons* to whom they entrust access to their food and drink). However, depending on the unique facts of a particular case, any of the referenced illustrations could result in a reduced sanction under Article 10.5 based on *No Significant Fault or Negligence*.

³⁶ Comment to Article 10.5.1: In assessing that *Athlete's* degree of *Fault*, it would, for example, be favourable for the *Athlete* if the *Athlete* had declared the product which was subsequently determined to be contaminated on his or her *Doping Control* form.

³⁷ Comment to Article 10.5.2 Article 10.5.2 may be applied to any anti-doping rule violation except those Articles where intent is an element of the anti-doping rule violation (for example Article 2.5, 2.7, 2.8 or 2.9) or an element of a particular sanction (for example Article 10.2.1) or a range of *Ineligibility* is already provided in an Article based on the *Athlete* or other *Person's* degree of *Fault*.



10.6 Elimination, reduction, or suspension of period of Ineligibility or other Consequences for reasons other than Fault

10.6.1 Substantial assistance in discovering or establishing anti-doping rule violations³⁸.

- (a) An Anti-Doping Organisation with results management responsibility for an anti-doping rule violation 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 where the Athlete or other Person has provided Substantial Assistance to an Anti-Doping Organisation, another criminal authority or professional disciplinary body which results in:
- (i) the Anti-Doping Organisation 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 offence 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 Anti-Doping Organisation with results management responsibility.

After a final appellate decision under Article 13 or the expiration of time to appeal, an Anti-Doping Organisation may only suspend a part of the otherwise applicable period of Ineligibility with the approval of WADA and the international federation. 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 Athlete or other Person and the significance of the Substantial Assistance provided by the Athlete 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 Athlete 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 Anti-Doping Organisation that suspended the period of ineligibility shall reinstate the original period of Ineligibility. If an Anti-Doping Organisation 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.

- (b) To further encourage Athletes and other Persons to provide Substantial Assistance to Anti-Doping Organisations, at the request of the Anti-Doping Organisation conducting results management or at the request of the Athlete or other Person who has, or has been asserted

³⁸ Comment to Article 10.6.1: The cooperation of *Athletes, Athlete Support Personnel* and other *Persons* who acknowledge their mistakes and are willing to bring other anti-doping rule violations to light is important to clean sport. This is the only circumstance under *the Code* where the suspension of an otherwise applicable period of *Ineligibility* is authorised.



to have, committed an anti-doping rule violation, WADA may agree at any stage of the results management process, including after a final appellate decision under Article 13, to what it considers to be an appropriate suspension of the otherwise-applicable period of Ineligibility and other Consequences. In exceptional circumstances, WADA may agree to suspensions of the period of Ineligibility and other Consequences for Substantial Assistance greater than those otherwise provided in this Article, or even no period of Ineligibility, and/or no return of prize money or payment of fines or costs. WADA's approval shall be subject to reinstatement of sanction, as otherwise provided in this Article. Notwithstanding Article 13, WADA's decisions in the context of this Article may not be appealed by any other Anti-Doping Organisation.

- (c) If any part of an otherwise applicable sanction is suspended because of Substantial Assistance, then notice providing justification for the decision shall be provided to the other Anti-Doping Organisations with a right to appeal under Article 13.2.3 as provided in Article 14.2. In unique circumstances where WADA determines that it would be in the best interest of anti-doping, WADA may authorise an Anti-Doping Organisation to enter into appropriate confidentiality agreements limiting or delaying the disclosure of the Substantial Assistance agreement or the nature of Substantial Assistance being provided.

10.6.2 *Admission of an Anti-Doping Rule Violation in the absence of other evidence*

Where an Athlete or other Person voluntarily admits the commission of an anti-doping rule violation before having received notice of a Sample collection which could establish an anti-doping rule violation (or, in the case of an anti-doping rule violation other than Article 2.1, before receiving first notice of the admitted violation pursuant to Article 7) and that admission is the only reliable evidence of the violation at the time of admission, then the period of Ineligibility may be reduced, but not below one-half of the period of Ineligibility otherwise applicable³⁹.

10.6.3 *Prompt admission of an Anti-Doping Rule Violation after being confronted with a violation sanctionable under Article 10.2.1 or Article 10.3.1*

An Athlete or other Person potentially subject to a four-year sanction under Article 10.2.1 or 10.3.1 (for evading or refusing Sample Collection or Tampering with Sample Collection), by promptly admitting the asserted anti-doping rule violation after being confronted by SIA (or another Anti-Doping Organisation), and also upon the approval and at the discretion of both WADA and the Anti-Doping Organisation with results management responsibility, may receive a reduction in the period of Ineligibility down to a minimum of two years, depending

³⁹ Comment to Article 10.6.2: This Article is intended to apply when an *Athlete* or other *Person* comes forward and admits to an anti-doping rule violation in circumstances where no *Anti-Doping Organisation* is aware that an anti-doping rule violation might have been committed. It is not intended to apply to circumstances where the admission occurs after the *Athlete* or other *Person* believes he or she is about to be caught. The amount by which *Ineligibility* is reduced should be based on the likelihood that the *Athlete* or other *Person* would have been caught had he/she not come forward voluntarily.



on the seriousness of the violation and the Athlete or other Person's degree of Fault.

10.6.4 *Application of multiple grounds for reduction of a sanction*

Where an Athlete or other Person establishes entitlement to reduction in sanction under more than one provision of Article 10.4, 10.5 or 10.6, before applying any reduction or suspension under Article 10.6, the otherwise applicable period of Ineligibility shall be determined in accordance with Articles 10.2, 10.3, 10.4 and 10.5. If the Athlete or other Person establishes entitlement to a reduction or suspension of the period of Ineligibility under Article 10.6, then the period of Ineligibility may be reduced or suspended, but not to below one-fourth of the otherwise applicable period of Ineligibility⁴⁰.

10.6.5 *Athletes who are neither National-Level Athletes nor International-Level Athletes (Lower-Level Athletes)*

Where a Lower-Level Athlete commits an anti-doping rule violation (other than a violation of Articles 2.1, 2.3 and 2.5), and the Lower-Level the SIA CEO may, depending on the Lower-Level Athlete's degree of Fault and other circumstances of the case, recommend a sanction ranging from a reprimand and compulsory anti-doping education, through to the maximum period of ineligibility that may be imposed for the violation.

Where a Lower-Level Athlete commits a violation of one or more of Articles 2.1, 2.3 and 2.5, this Anti-Doping Policy applies in the same way as it does to a National-Level Athlete or an International-Level Athlete who commits one of those violations.

10.7 Multiple violations

10.7.1 For an Athlete or other Person's second anti-doping rule violation, the period of Ineligibility shall be the greater of:

- (a) six months;
- (b) one-half of the period of Ineligibility imposed for the first anti-doping rule violation without taking into account any reduction under Article 10.6; or
- (c) twice the period of Ineligibility otherwise applicable to the second anti-doping rule violation treated as if it were a first violation, without taking into account any reduction under Article 10.6.

The period of Ineligibility established may then be further reduced by the application of Article 10.6.

⁴⁰ Comment to Article 10.6.4: The appropriate sanction is determined in a sequence of four steps. First, the hearing panel (or *sporting administration body* if the Athlete waives their right to a hearing and admits the anti-doping rule violation/s) determines which of the basic sanctions (Articles 10.2, 10.3, 10.4 or 10.5) apply to the particular anti-doping rule violation. Second, if the basic sanction provides for a range of sanctions, the hearing panel/*sporting administration body* must determine the applicable sanction within that range according to the Athlete or other Person's degree of Fault. In a third step, the hearing panel/*sporting administration body* establishes whether there is a basis for elimination, suspension, or reduction of the sanction (Article 10.6). Finally, the hearing panel/*sporting administration body* decides on the commencement of the period of *Ineligibility* under Article 10.11. Several examples of how Article 10 is to be applied are in Appendix 2.



- 10.7.2 A third anti-doping rule violation will always result in a lifetime period of Ineligibility, except if the third violation fulfils the condition for elimination or reduction of the period of Ineligibility under Article 10.4 or 10.5, or involves a violation of Article 2.4. In these particular cases, the period of Ineligibility shall be from eight years to lifetime Ineligibility.
- 10.7.3 An anti-doping rule violation for which an Athlete or other Person has established No Fault or Negligence shall not be considered a prior violation for purposes of this Article.
- 10.7.4 Additional rules for certain potential multiple violations
- (a) For purposes of imposing sanctions under Article 10.7, an anti-doping rule violation will only be considered a second violation if the Anti-Doping Organisation can establish that the Athlete or other Person committed the second anti-doping rule violation after the Athlete or other Person received notice under Article 7, or after the Anti-Doping Organisation made reasonable efforts to give notice, of the first anti-doping rule violation. If the Anti-Doping Organisation cannot establish this, the violations shall be considered together as one single first violation, and the sanction imposed shall be based on the violation that carries the more severe sanction.
- (b) If, after the imposition of a sanction for a first anti-doping rule violation, an Anti-Doping Organisation discovers facts involving an anti-doping rule violation by the Athlete or other Person which occurred prior to notification regarding the first violation, then the sporting administration body, in consultation with SIA, shall impose an additional sanction based on the sanction that could have been imposed if the two violations had been adjudicated at the same time. Results in all Competitions dating back to the earlier anti-doping rule violation will be disqualified as provided in Article 10.8.

10.7.5 Multiple Anti-Doping Rule Violations during ten-year period

For purposes of Article 10.7, each anti-doping rule violation must take place within the same ten-year period in order to be considered multiple violations.

10.8 Disqualification of results in Competitions subsequent to Sample collection or commission of an anti-doping rule violation

In addition to the automatic Disqualification of the results in the Competition which produced the positive Sample under Article 9, all other competitive results of the Athlete obtained from the date a positive Sample was collected (whether In-Competition or Out-of-Competition), or other anti-doping rule violation occurred, through the commencement of any Provisional Suspension or Ineligibility period, shall, unless fairness requires otherwise, be Disqualified with all of the resulting Consequences, including forfeiture of any medals, points and prizes⁴¹.

⁴¹ Comment to Article 10.8: Nothing in this Anti-Doping Policy precludes clean Athletes or other Persons who have been damaged by the actions of a Person who has committed an anti-doping rule violation from pursuing any right which they would otherwise have to seek damages from such Person.



10.9 Allocation of CAS Cost Awards and Forfeited Prize Money

10.9.1 The priority for repayment of CAS cost awards and forfeited prize money shall be: first, payment of costs awarded by CAS; second, reallocation of forfeited prize money to other Athletes if provided for in the rules of the international federation; and third, reimbursement of the expenses of SIA (or any other Anti-Doping Organisation) that conducted results management in the case.

10.10 Financial Consequences

The imposition of a financial sanction (such as the recovery of funding by a sport organisation) shall not be considered a basis for reducing the Ineligibility or other sanction which would otherwise be applicable under this Anti-Doping Policy or the Code.

10.11 Commencement of Ineligibility period⁴²

Except as provided below, the period of Ineligibility shall start on the date of the final hearing decision providing for Ineligibility or, if the hearing is waived or there is no hearing, on the date Ineligibility is accepted or otherwise imposed.

10.11.1 *Delays not attributable to the Athlete or other Person*

Where there have been substantial delays in the hearing process or other aspects of Doping Control not attributable to the Athlete or other Person, the body imposing the sanction may start the period of Ineligibility at an earlier date commencing as early as the date of Sample collection or the date on which another anti-doping rule violation last occurred. All competitive results achieved during the period of Ineligibility, including retroactive Ineligibility, shall be Disqualified⁴³.

10.11.2 *Timely admission*

Where the Athlete or other Person promptly (which, in all Events, for an Athlete means before the Athlete competes again) admits the anti-doping rule violation after being confronted with the anti-doping rule violation by SIA (or another Anti-Doping Organisation), the period of Ineligibility may start as early as the date of Sample collection or the date on which another anti-doping rule violation last occurred. In each case where this Article is applied, the Athlete or other Person shall serve at least one-half of the period of Ineligibility going forward from the date the Athlete or other Person accepted the imposition of a sanction, the date of a hearing decision imposing a sanction, or the date the sanction is otherwise imposed. This Article shall not apply where the period of Ineligibility already has been reduced under Article 10.6.3.

⁴² Comment to Article 10.11 delays not attributable to the *Athlete*, timely admission by the *Athlete* and *Provisional Suspension* are the only justifications for starting the period of *Ineligibility* earlier than the date of the final hearing decision.

⁴³ Comment to Article 10.11.1: In cases of anti-doping rule violations other than under Article 2.1, the time required for SIA (or another *Anti-Doping Organisation*) to discover and develop facts sufficient to establish an anti-doping rule violation may be lengthy, particularly where the *Athlete* or other *Person* has taken affirmative action to avoid detection. In these circumstances, the flexibility provided in this Article to start the sanction at an earlier date should not be used.



10.11.3 *Credit for Provisional Suspension or period of Ineligibility served*

- (a) If a Provisional Suspension is imposed and respected by the Athlete or other Person, then the Athlete or other Person shall receive a credit for such period of Provisional Suspension against any period of Ineligibility which may ultimately be imposed. If a period of Ineligibility is served under a decision that is subsequently appealed, then the Athlete or other Person shall receive a credit for such period of Ineligibility served against any period of Ineligibility which may ultimately be imposed on appeal.
- (b) If an Athlete or other Person voluntarily accepts a Provisional Suspension in writing from the sporting administration body and thereafter respects the Provisional Suspension, the Athlete or other Person shall receive a credit for such period of voluntary Provisional Suspension against any period of Ineligibility which may ultimately be imposed. A copy of the Athlete or other Person's voluntary acceptance of a Provisional Suspension shall be provided promptly to each party entitled to receive notice of an asserted anti-doping rule violation under Article 14.1⁴⁴.
- (c) No credit against a period of Ineligibility shall be given for any time period before the effective date of the Provisional Suspension or voluntary Provisional Suspension regardless of whether the Athlete elected not to compete or was suspended by his or her team.
- (d) In Team Sports, where a period of Ineligibility is imposed upon a team, unless fairness requires otherwise, the period of Ineligibility shall start on the date of the final hearing decision providing for Ineligibility or, if the hearing is waived, on the date Ineligibility is accepted or otherwise imposed. Any period of team Provisional Suspension (whether imposed or voluntarily accepted) shall be credited against the total period of Ineligibility to be served.

10.12 **Status during Ineligibility**

10.12.1 *Prohibition against participation during Ineligibility*

No Athlete or other Person who has been declared Ineligible may, during the period of Ineligibility, participate in any capacity in a Competition or activity (other than authorised anti-doping education or rehabilitation programs) authorised or organised by any Signatory, Signatory's member organisation, or a club or other member organisation of a Signatory's member organisation, or in Competitions authorised or organised by any professional league or any international- or national- level Event organisation or any elite or national-level sporting activity funded by a government agency.

An Athlete or other Person subject to a period of Ineligibility longer than four years may, after completing four years of the period of Ineligibility, participate as an Athlete in local sport Events not sanctioned or otherwise under the jurisdiction

⁴⁴ Comment to Article 10.11.3(b): An Athlete's voluntary acceptance of a *Provisional Suspension* is not an admission by the Athlete and shall not be used in any way as to draw an adverse inference against the Athlete.



of a Code Signatory or member of a Code Signatory, but only so long as the local sport Event is not at a level that could otherwise qualify such Athlete or other Person directly or indirectly to compete in (or accumulate points toward) a national championship or International Event, and does not involve the Athlete or other Person working in any capacity with Minors.

An Athlete or other Person subject to a period of Ineligibility shall remain subject to Testing⁴⁵.

10.12.2 *Return to training*

As an exception to Article 10.12.1, an Athlete may return to train with a team or to use the facilities of a club or other member organisation of a Signatory's member organisation during the shorter of: (1) the last two months of the Athlete's period of Ineligibility, or (2) the last one-fourth of the period of Ineligibility imposed⁴⁶.

10.12.3 *Violation of the prohibition of participation during Ineligibility*

Where an Athlete or other Person who has been declared Ineligible violates the prohibition against participation during Ineligibility described in Article 10.12.1, the results of such participation shall be Disqualified and a new period of Ineligibility equal in length to the original period of Ineligibility shall be added to the end of the original period of Ineligibility. The new period of Ineligibility may be adjusted based on the Athlete or other Person's degree of Fault and other circumstances of the case. The determination of whether an Athlete or other Person has violated the prohibition against participation, and whether an adjustment is appropriate, shall be made by the sporting administration body in consultation with SIA (and any other Anti-Doping Organisation). This decision may be appealed under Article 13.

Where an Athlete Support Person or other Person assists a Person in violating the prohibition against participation during Ineligibility, an Anti-Doping Organisation with jurisdiction over such Athlete Support Person or other Person shall impose sanctions for a violation of Article 2.9 for such assistance.

10.12.4 *Withholding of financial support during Ineligibility*

In addition, for any anti-doping rule violation not involving a reduced sanction as described in Article 10.4 or 10.5, some or all sport-related financial support or other sport-related benefits received by such Person will be withheld by Signatories, Signatories' member organisations and governments.

⁴⁵ Comment to Article 10.12.1: For example, subject to Article 10.12.2, an *Ineligible Athlete* cannot participate in a training camp, exhibition or practice organised by his or her *Sporting Administration Body* or a club which is a member of that *Sporting Administration Body* or which is funded by a government agency. Further, an *Ineligible Athlete* may not compete in a non-*Signatory* professional league (for example, the National Hockey League, the National Basketball League). *Events* organised by a non-*Signatory International Event* organisation or a non-*Signatory* national-level event organisation without triggering the *Consequences* set forth in Article 10.12.3. The term 'activity' also includes, for example, administrative activities, such as serving as an official, director, officer, employee, or volunteer of the organisation described in this Article. *Ineligibility* imposed in one sport shall also be recognised by other sports

⁴⁶ Comment to Article 10.12.2: In many *Team Sports* and some individual sports (for example, ski jumping and gymnastics), an *Athlete* cannot effectively train on his/her own so as to be ready to compete at the end of the *Athlete's* period of *Ineligibility*. During the training period described in this Article, an *Ineligible Athlete* may not compete or engage in any activity described in Article 10.12.1 other than training.



10.13 Automatic publication of sanction

A mandatory part of each sanction shall include automatic publication, as provided in Article 14.3.



Article 11 Consequences to teams

11.1 Testing of Team Sports

Where more than one member of a team in a Team Sport has been notified of an anti-doping rule violation under Article 7 in connection with an Event, the ruling body for the Event shall conduct appropriate Target Testing of the team during the Event Period.

11.2 Consequences for Team Sports

If more than two members of a team in a Team Sport are found to have committed an anti-doping rule violation during an Event Period, the ruling body of the Event shall impose an appropriate sanction on the team (for example, loss of points, Disqualification from a Competition or Event, or other sanction) in addition to any Consequences imposed upon the individual Athletes committing the anti-doping rule violation.

11.3 Event ruling body may establish stricter Consequences for Team Sports

The ruling body for an Event may elect to establish rules for the Event which impose Consequences for Team Sports stricter than those in Article 11.2 for purposes of the Event⁴⁷.

⁴⁷ Comment to Article 11.3: For example, the International Olympic Committee could establish rules which would require *Disqualification* of a team from the Olympic Games based on a lesser number of anti-doping rule violations during the period of the Games.



Article 12 Sanctions against sporting bodies

12.1 Withholding funding for non-compliance

SIA may request the Australian Sports Commission and any other relevant public authorities to withhold some or all funding or other non-financial support to Sporting Administration Bodies that are not in compliance with this Anti-Doping Policy.

12.2 Disciplinary action against a sporting administration body

SIA may request the Australian Sports Commission, Australian Olympic Committee or the Australian Commonwealth Games Association to take additional disciplinary action against a sporting administration body with respect to recognition, the eligibility of its officials and Athletes to participate in International Events, and fines based on the following:

- 12.2.1 Four or more violations of this Anti-Doping Policy (other than violations involving Article 2.4) are committed by Athletes or other Persons affiliated with the sporting administration body within a 12-month period.
- 12.2.2 More than one Athlete or other Person from the sporting administration body commits an anti-doping rule violation during an International Event.
- 12.2.3 The sporting administration body has failed to make diligent efforts to keep SIA informed about an Athlete's whereabouts after receiving a request for that information from SIA.



Article 13 Appeals

13.1 Decisions subject to appeal

Decisions made under this Anti-Doping Policy may be appealed as set out in Articles 13.2 through 13.6 or as otherwise provided in this Anti-Doping Policy, the Code or the International Standards. Such decisions shall remain in effect while under appeal unless the appellate body orders otherwise. Before an appeal is commenced, any post-decision review provided in the Anti-Doping Organisation's rules must be exhausted, provided that such review respects the principles set out in Article 13.2.2 (except as provided in Article 13.1.3).

13.1.1 *Scope of review not limited*

The scope of review on appeal includes all issues relevant to the matter and is expressly not limited to the issues or scope of review before the initial decision maker.

13.1.2 *The NST or CAS shall not defer to the findings being appealed*

In making its decision, the NST or CAS need not give deference to the discretion exercised by the body whose decision is being appealed⁴⁸.

13.1.3 *WADA is not required to exhaust internal remedies*

Where WADA has a right to appeal under Article 13 and no other party has appealed a final decision within the Anti-Doping Organisation's process, WADA may appeal such decision directly to CAS without having to exhaust other remedies in the Anti-Doping Organisation's process.

13.2 Appeals from decisions regarding Anti-Doping Rule Violations, Consequences, Provisional Suspensions, recognition of decisions and jurisdiction

A decision that an anti-doping rule violation was committed, a decision imposing Consequences or not imposing Consequences for an anti-doping rule violation, or a decision that no anti-doping rule violation was committed; a decision that an anti-doping rule violation proceeding cannot go forward for procedural reasons (including, for example, prescription); a decision by WADA not to grant an exception to the six months' notice requirement for a retired Athlete to return to Competition under Article 5.1.1; a decision by WADA assigning results management under Article 7.1 of the Code; a decision by SIA (or other Anti-Doping Organisation) not to bring forward an Adverse Analytical Finding or an Atypical Finding as an anti-doping rule violation, or a decision not to go forward with an anti-doping rule violation after an investigation under Article 7.7; a decision to impose a Provisional Suspension as a result of a Provisional Hearing; the sporting administration body's failure to comply with Article 7.9; a decision that SIA, the sporting administration body (or another Anti-Doping Organisation) lacks jurisdiction to rule on an alleged anti-doping rule violation or its Consequences; a decision to suspend, or not suspend, a period of Ineligibility or to reinstate, or not reinstate, a suspended period of Ineligibility under Article 10.6.1; a decision under Article 10.12.3; and a decision by SIA (or another Anti-

⁴⁸ Comment to Article 13.1.2: CAS proceedings are de novo. Prior proceedings do not limit the evidence or carry weight in the hearing before CAS.



Doping Organisation) not to recognise another Anti-Doping Organisation's decision under Article 15, may be appealed exclusively as provided in Articles 13.2 – 13.6.

13.2.1 Appeals involving International-Level Athletes or International Events

In cases arising from participation in an International Event or in cases involving International-Level Athletes, the decision may be appealed exclusively to the Appeals Division of CAS⁴⁹.

13.2.2 Appeals involving other Athletes or other Persons

In cases where Article 13.2.1 is not applicable, the decision may be appealed initially to the Appeals Division of the NST in accordance with the process set out in the NST Act and instruments made under it. Decisions from the Appeals Division of the NST may be appealed to the Appeals Division of CAS in accordance with the provisions applicable before such court.

13.2.3 Persons entitled to appeal

In cases under Article 13.2.1, the following parties shall have the right to appeal to CAS:

- (a) the Athlete or other Person who is the subject of the decision being appealed;
- (b) the other party to the case in which the decision was rendered;
- (c) the international federation;
- (d) SIA and (if different) the National Anti-Doping Organisation of the Person's country of residence or countries where the Person is a national or licence holder;
- (e) the International Olympic Committee or International Paralympic Committee, as applicable, where the decision may have an effect in relation to the Olympic Games or Paralympic Games, including decisions affecting eligibility for the Olympic Games or Paralympic Games; and
- (f) WADA.

In cases under Article 13.2.2, the following parties, at a minimum, shall have the right to appeal to the NST and CAS:

- (a) the Athlete or other Person who is the subject of the decision being appealed;
- (b) the other party to the case in which the decision was rendered;
- (c) the international federation;
- (d) SIA and (if different) the National Anti-Doping Organisation of the Person's country of residence;
- (e) the International Olympic Committee or International Paralympic Committee, as applicable, where the decision may have an effect in

⁴⁹ Comment to Article 13.2.1: CAS decisions are final and binding except for any review required by law applicable to the annulment or enforcement of arbitral awards.



relation to the Olympic Games or Paralympic Games, including decisions affecting eligibility for the Olympic Games or Paralympic Games; and

(f) WADA.

Notwithstanding any other provision herein, the only Person who may appeal from a Provisional Suspension is the Athlete or other Person upon whom the Provisional Suspension is imposed.

13.2.4 *Cross Appeals and other subsequent appeals allowed*

Cross appeals and other subsequent appeals by any respondent named in cases brought to CAS under the Code are specifically permitted. Any party with a right to appeal under this Article 13 must file a cross appeal or subsequent appeal at the latest with the party's answer⁵⁰.

13.3 **Failure to render a timely decision**

Where, in a particular case, an Anti-Doping Organisation 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 an Anti-Doping Organisation 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 Organisation⁵¹.

13.4 **Appeals relating to TUEs**

TUE decisions may be appealed exclusively as provided in Article 4.4.

13.5 **Notification of appeal decisions**

Any Anti-Doping Organisation that is a party to an appeal shall promptly provide the appeal decision to the Athlete or other Person and to the other Anti-Doping Organisations that would have been entitled to appeal under Article 13.2.3 as provided under Article 14.2.

13.6 **Time for filing appeals**

13.6.1 *Appeals to CAS or to the Appeals Division of the NST*⁵²

The time to file an appeal to CAS or the NST shall be twenty-one days from the date of receipt of the decision by the appealing party. This notwithstanding, the following shall apply in connection with appeals filed by a party entitled to appeal

⁵⁰ Comment to Article 13.2.4: This provision is necessary because since 2011, CAS rules no longer permit an Athlete the right to cross appeal when an *Anti-Doping Organisation* appeals a decision after the Athlete's time for appeal has expired. This provision permits a full hearing for all parties.

⁵¹ 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 Organisation* 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 Organisation* and give the *Anti-Doping Organisation* an opportunity to explain why it has not yet rendered a decision.

⁵² Paragraph 38(4)(a) of the NST Act provides that where the relevant anti-doping policy specifies a period within which an appeal may be made to the Appeals Division of the NST, the application must be made before the end of that period.



but which was not a party to the proceedings that led to the decision being appealed:

- (a) Within fifteen days from notice of the decision, such party/ies shall have the right to request a copy of the case file from the body that issued the decision;
- (b) If such a request is made within the fifteen-day period, then the party making such request shall have twenty-one days from receipt of the file to file an appeal to CAS or to the Appeals Division of the NST.

This notwithstanding, the filing deadline for an appeal filed by WADA shall be the later of:

- (a) Twenty-one days after the last day on which any other party in the case could have appealed; or
- (b) twenty-one days after WADA's receipt of the complete file relating to the decision.

13.7 CAS fees

In the case of any appeals to CAS, each party involved in a hearing shall bear in equal proportions any upfront fee of CAS (excluding the initial CAS application fee which shall be borne by the party applying). Should it be found that no anti-doping rule violation has been committed, SIA shall reimburse the Athlete or other Person their application fee and their portion of the upfront fee. Each party shall otherwise bear their own costs.



Article 14 Confidentiality and reporting

14.1 Information concerning Adverse Analytical Findings, Atypical Findings, and other asserted anti-doping rule violations

14.1.1 Notice of Anti-Doping Rule Violations to Athletes and other Persons

Notice to Athletes or other Persons that an anti-doping rule violation is being asserted against them shall occur as provided under Article 7 and Article 14 of this Anti-Doping Policy. Notice to an Athlete or other Person who is a member of the sporting administration body may be put into effect by delivery of the notice to the sporting administration body.

14.1.2 Notice of anti-doping rule violations to the international federation and WADA

Notice of the assertion of an anti-doping rule violation to the international federation and WADA shall occur as provided under Article 7 and Article 14 of this Anti-Doping Policy, simultaneously with the notice to the Athlete or other Person.

14.1.3 Content of an anti-doping rule violation Notice

Notification shall include: the Athlete's name, country, sport and discipline within the sport, the Athlete's competitive level, whether the test was In-Competition or Out-of-Competition, the date of Sample collection, the analytical result reported by the laboratory, and other information as required by the International Standard for Testing and Investigations (where applicable), or, for anti-doping rule violations other than under Article 2.1, the rule violated and the basis of the asserted violation.

14.1.4 Status reports

Except with respect to investigations which have not resulted in notice of an anti-doping rule violation under Article 14.4.1, the international federation and WADA shall be regularly updated on the status and findings of any review or proceedings conducted pursuant to Article 7, Article 8 or Article 13 and shall be provided with a prompt written reasoned explanation or decision explaining the resolution of the matter.

14.1.5 Confidentiality

The recipient organisations shall not disclose this information beyond those Persons with a need to know (which would include the appropriate personnel at the applicable National Olympic Committee, National Federation, and team in a Team Sport) until SIA, the sporting administration body or other Anti-Doping Organisation has made public disclosure or has failed to make Public Disclosure as required in Article 14.3.

14.2 Notice of anti-doping rule violation decisions and request for files

14.2.1 Anti-doping rule violation decisions rendered under Articles 7.11, 8.6, 10.4, 10.5, 10.6, 10.12.3 or 13.5 shall include the full reasons for the decision, including, if applicable, a justification for why the greatest possible Consequences were not imposed. Where the decision is not in English or French, SIA or another Anti-



Doping Organisation shall provide a short English or French summary of the decision and the supporting reasons.

- 14.2.2 An Anti-Doping Organisation having a right to appeal a decision received under Article 14.2.1 may, within fifteen days of receipt, request a copy of the full case file pertaining to the decision.

14.3 Public disclosure

- 14.3.1 The identity of any Athlete or other Person who is asserted by SIA or another Anti-Doping Organisation to have committed an anti-doping rule violation, may be Publicly Disclosed by SIA or another Anti-Doping Organisation only after notice has been provided to the Athlete or other Person in accordance with Articles 7.3, 7.4, 7.5, 7.6 or 7.7 and simultaneously to WADA and the international federation in accordance with Article 14.1.2.
- 14.3.2 No later than twenty days after it has been determined in a final appellate decision under Article 13.2.1 or 13.2.2, or such appeal has been waived, or a hearing in accordance with Article 8 has been waived, or the assertion of an anti-doping rule violation has not been timely challenged, SIA and the sporting administration body must Publicly Report the disposition of the matter, including the sport, the anti-doping rule violated, the name of the Athlete or other Person committing the violation, the Prohibited Substance or Prohibited Method involved (if any) and the Consequences imposed. SIA and the sporting administration body must also Publicly Report within twenty days the results of final appeal decisions concerning anti-doping rule violations, including the information described above.
- 14.3.3 In any case where it is determined, after a hearing or appeal, that the Athlete or other Person did not commit an anti-doping rule violation, the decision may be Publicly Disclosed only with the consent of the Athlete or other Person who is the subject of the decision. SIA and the sporting administration body shall use reasonable efforts to obtain such consent. If consent is obtained, SIA and the sporting administration body shall Publicly Disclose the decision in its entirety or in such redacted form as the Athlete or other Person may approve.
- 14.3.4 Publication shall be accomplished at a minimum by placing the required information on SIA's website or publishing it through other means and leaving the information up for the longer of one month or the duration of any period of Ineligibility.
- 14.3.5 Neither SIA, nor the sporting administration body, nor any official of either body, shall publicly comment on the specific facts of any pending case (as opposed to general description of process and science) except in response to public comments attributed to the Athlete or other Person against whom an anti-doping rule violation is asserted, or their representatives.
- (a) Where an Athlete or other Person or their representative comments about their matter the Athlete or other Person is taken to have consented to SIA commenting in response to their matter for the purposes of the SIA Act.



- 14.3.6 The mandatory Public Reporting required in Article 14.3.2 shall not be required where the Athlete or other Person who has been found to have committed an anti-doping rule violation is a Minor or a Lower-Level Athlete. Any optional Public Reporting in a case involving a Minor shall be proportionate to the facts and circumstances of the case.

14.4 Data privacy

- 14.4.1 SIA may collect, store, process or disclose personal information relating to Athletes and other Persons where necessary and appropriate to conduct their anti-doping activities under the SIA Act, SIA Regulations, the NAD scheme, Code, the International Standards (including specifically the International Standard for the Protection of Privacy and Personal Information), the Australian Privacy Principles, the Archives Act 1983 (Cth), and this Anti-Doping Policy as in force from time to time.
- 14.4.2 Any Participant who submits information including personal data to any Person in accordance with this Anti-Doping Policy shall be deemed to have agreed, under applicable data protection laws and otherwise, that such information may be collected, processed, disclosed and used by such Person for the purposes of the implementation of this Anti-Doping Policy, in accordance with the International Standard for the Protection of Privacy and Personal Information, the Australian Privacy Principles, the Archives Act 1983 (Cth), SIA Act, SIA Regulations, the NAD scheme as in force from time to time, and otherwise as required to implement this Anti-Doping Policy.



Article 15 Application and recognition of decisions

- 15.1** Subject to the right to appeal provided in Article 13, Testing, hearing results or other final adjudications of any Signatory which are consistent with the Code and are within that Signatory's authority shall be applicable worldwide and shall be recognised and respected by SIA and the sporting administration body⁵³.
- 15.2** SIA and the sporting administration body shall recognise the measures taken by other bodies which have not accepted the Code if the rules of those bodies are otherwise consistent with the Code.

⁵³ Comment to Article 15.1: The extent of recognition of TUE decisions of other *Anti-Doping Organisations* shall be determined by Article 4.4 and the *International Standard for Therapeutic Use Exemptions*.



Article 16 Incorporation of this Anti-Doping Policy and obligations of the Sporting Administration Body

- 16.1** The sporting administration body and its members shall comply with this Anti-Doping Policy. This Anti-Doping Policy shall also be incorporated either directly or by reference into the sporting administration body's rules so that SIA may enforce the anti-doping policy itself directly as against Athletes and other Persons under the sporting administration body's jurisdiction.
- 16.2** The sporting administration body shall establish rules requiring all Athletes and each Athlete Support Personnel who participates as coach, trainer, manager, team staff, official, medical or paramedical personnel in a Competition or activity authorised or organised by the sporting administration body or one of its member organisations to agree to be bound by this Anti-Doping Policy and to submit the results management authority to the Anti-Doping Organisation responsible under the Code as a condition of such participation.
- 16.3** The sporting administration body shall report any information suggesting or relating to an anti-doping rule violation to SIA and to the international federation, and shall cooperate with investigations conducted by any Anti-Doping Organisation with authority to conduct the investigation.
- 16.4** The sporting administration body shall have disciplinary rules in place to prevent Athlete Support Personnel who are Using Prohibited Substances or Prohibited Methods without valid justification from providing support to Athletes under the jurisdiction of SIA or the sporting administration body.
- 16.5** The sporting administration body shall be required to conduct anti-doping education in coordination with SIA.



Article 17 Statute of Limitations

No anti-doping rule violation proceeding may be commenced against an Athlete or other Person unless he or she has been notified of the anti-doping rule violation as provided in Article 7, or notification has been reasonably attempted, within ten years from the date the violation is asserted to have occurred.



Article 18 Compliance reports to WADA

This article has not been included by SIA.



Article 19 Education

SIA, in collaboration with the sporting administration body, will support the sporting administration body to plan, implement, evaluate and monitor anti-doping information, education and prevention programs on the Code, and shall support active participation by Athletes and Athlete Support Personnel in such programs.



Article 20 Amendment and interpretation of Anti-Doping Policy

- 20.1** This Anti-Doping Policy may be amended from time to time by the sporting administration body subject to written approval by the SIA CEO under clause 2.04 of the NAD scheme.
- 20.2** This Anti-Doping Policy shall be interpreted as an independent and autonomous text and not by reference to existing law or statutes.
- 20.3** The headings (with the exception of Article 2) used for the various Parts and Articles of this Anti-Doping Policy are for convenience only and shall not be deemed part of the substance of this Anti-Doping Policy or to affect in any way the language of the provisions to which they refer.
- 20.4** The Code and the International Standards shall be considered integral parts of this Anti-Doping Policy and shall prevail in case of conflict.
- 20.5** This Anti-Doping Policy has been adopted under the applicable provisions of the Code and shall be interpreted in a manner that is consistent with applicable provisions of the Code. The Introduction shall be considered an integral part of this Anti-Doping Policy.
- 20.6** The comments annotating various provisions of the Code and this Anti-Doping Policy shall be used to interpret this Anti-Doping Policy.
- 20.7** This Anti-Doping Policy takes full force and effect on 1 January 2015 (the 'Effective Date'). It shall not apply retroactively to matters pending before the Effective Date; provided, however, that:
- 20.7.1** Anti-doping rule violations taking place prior to the Effective Date count as 'first violations' or 'second violations' for purposes of determining sanctions under Article 10 for violations taking place after the Effective Date.
- 20.7.2** The retrospective periods in which prior violations can be considered for purposes of multiple violations under Article 10.7.5 and the statute of limitations set forth in Article 17 are procedural rules and should be applied retroactively; provided, however, that Article 17 shall only be applied retroactively if the statute of limitation period has not already expired by the Effective Date. Otherwise, with respect to any anti-doping rule violation case which is pending as of the Effective Date and any anti-doping rule violation case brought after the Effective Date based on an anti-doping rule violation which occurred prior to the Effective Date, the case shall be governed by the substantive anti-doping rules in effect at the time the alleged anti-doping rule violation occurred, unless the panel hearing the case determines the principle of 'lex mitior' appropriately applies under the circumstances of the case.
- 20.7.3** Any Article 2.4 whereabouts failure (whether a filing failure or a missed test, as those terms are defined in the International Standard for Testing and Investigations) prior to the Effective Date shall be carried forward and may be relied upon, prior to expiry, in accordance with the International Standard for



Testing and Investigation, but it shall be deemed to have expired 12 months after it occurred.

- 20.7.4 With respect to cases where a final decision finding an anti-doping rule violation has been rendered prior to the Effective Date, but the Athlete or other Person is still serving the period of Ineligibility as of the Effective Date, the Athlete or other Person may apply to the Anti-Doping Organisation which had results management responsibility for the anti-doping rule violation to consider a reduction in the period of Ineligibility in light of this Anti-Doping Policy. Such application must be made before the period of Ineligibility has expired. The decision rendered may be appealed under Article 13.2. This Anti-Doping Policy shall have no application to any case where a final decision finding an anti-doping rule violation has been rendered and the period of Ineligibility has expired.
- 20.7.5 For purposes of assessing the period of Ineligibility for a second violation under Article 10.7.1, where the sanction for the first violation was determined based on rules in force prior to the Effective Date, the period of Ineligibility which would have been assessed for that first violation had this Anti-Doping Policy been applicable, shall be applied.



Article 21 Interpretation of the Code

- 21.1** The official text of the Code shall be maintained by WADA 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.
- 21.2** The comments annotating various provisions of the Code shall be used to interpret the Code.
- 21.3** The Code shall be interpreted as an independent and autonomous text and not by reference to the existing law or statutes of the Signatories or governments.
- 21.4** The headings used for the various Parts and Articles of the Code are for convenience only and shall not be deemed part of the substance of the Code or to affect in any way the language of the provisions to which they refer.
- 21.5** The Code shall not apply retroactively to matters pending before the date the Code is accepted by a Signatory and implemented in its rules. However, pre-Code anti-doping rule violations would continue to count as 'first violations' or 'second violations' for the purposes of determining sanctions under Article 10 for subsequent post-Code violations.

The Purpose, Scope and Organisation of the World Anti-Doping Program and the Code and

- 21.6** The Purpose, Scope and Organisation of the World Anti-Doping Program and the Code and Appendix 1, Definitions, and Appendix 2, Examples of the Application of Article 10, shall be considered integral parts of the Code.



Article 22 Additional roles and responsibilities of athletes and other persons

22.1 Roles and responsibilities of Athletes

- 22.1.1 To be knowledgeable of and comply with this Anti-Doping Policy.
- 22.1.2 To be available for Sample collection at all times⁵⁴.
- 22.1.3 To take responsibility, in the context of anti-doping, for what they ingest and Use.
- 22.1.4 To inform medical personnel of their obligation not to Use Prohibited Substances and Prohibited Methods and to take responsibility to make sure that any medical treatment received does not violate this Anti-Doping Policy.
- 22.1.5 To disclose to the international federation and to SIA any decision by a non-Signatory finding that the Athlete committed an anti-doping rule violation within the previous ten years.
- 22.1.6 To cooperate with Anti-Doping Organisations investigating anti-doping rule violations.

22.2 Roles and responsibilities of Athlete Support Personnel

- 22.2.1 To be knowledgeable of and comply with this Anti-Doping Policy.
- 22.2.2 To cooperate with the Athlete Testing program.
- 22.2.3 To use his or her influence on Athlete values and behaviour to foster anti-doping attitudes.
- 22.2.4 To disclose to the international federation and to SIA any decision by a non-Signatory finding that he or she committed an anti-doping rule violation within the previous ten years.
- 22.2.5 To cooperate with Anti-Doping Organisations investigating anti-doping rule violations.
- 22.2.6 Athlete Support Personnel shall not Use or Possess any Prohibited Substance or Prohibited Method without valid justification.

NOTE: Coaches and other Athlete Support Personnel are often role models for Athletes. They should not be engaging in personal conduct which conflicts with their responsibility to encourage their Athletes not to dope. Use or Possession of a Prohibited Substance or Prohibited Method by an Athlete Support Person without valid justification is not an anti-doping rule violation under the Code, but it is a breach under the sporting administration body's disciplinary rules or policies.

⁵⁴ Comment to Article 22.1.2: With due regard to an Athlete's human rights and privacy, legitimate anti-doping considerations sometimes require Sample collection late at night or early in the morning. For example, it is known that some Athletes use low doses of EPO during these hours so that it will be undetectable in the morning.



Appendix 1: Purpose, scope and organisation of the World Anti-Doping Program and the Code

The purposes of the World Anti-Doping Code and the World Anti-Doping Program which supports it are:

- To protect the Athletes' fundamental right to participate in doping-free sport and thus promote health, fairness and equality for Athletes worldwide, and
- To ensure harmonized, coordinated and effective anti-doping programs at the international and national level with regard to detection, deterrence and prevention of doping.

The Code

The Code is the fundamental and universal document upon which the World Anti-Doping Program in sport is based. The purpose of the Code is to advance the anti-doping effort through universal harmonization of core anti-doping elements. It is intended to be specific enough to achieve complete harmonization on issues where uniformity is required, yet general enough in other areas to permit flexibility on how agreed-upon anti-doping principles are implemented.

The World Anti-Doping Program

The World Anti-Doping Program encompasses all of the elements needed in order to ensure optimal harmonization and best practice in international and national anti-doping programs. The main elements are:

Level 1: The Code

Level 2: International Standards

Level 3: Models of Best Practice and Guidelines

International Standards

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

Models of Best Practice and Guidelines

Models of best practice and guidelines based on the Code have been and will be developed to provide solutions in different areas of anti-doping. The models will be recommended by WADA and made available to Signatories upon request but will not be mandatory. In addition to providing models



of anti-doping documentation, WADA will also make some training assistance available to the Signatories.

Fundamental rationale for the World Anti-Doping Code

Anti-doping programs seek to preserve what is intrinsically valuable about sport. This intrinsic value is often referred to as "the spirit of sport", it is the essence of Olympism; it is how we play true. The spirit of sport is the celebration of the human spirit, body and mind, and is characterized by the following values:

- Ethics, fair play and honesty
- Health
- Excellence in performance
- Character and education
- Fun and joy
- Teamwork
- Dedication and commitment
- Respect for rules and laws
- Respect for self and other Participants
- Courage
- Community and solidarity

Doping is fundamentally contrary to the spirit of sport.

To fight doping by promoting the spirit of sport, the Code requires each Anti-Doping Organization to develop and implement educational programs for Athletes, including youth, and Athlete Support Personnel.



Appendix 2 Definitions⁵⁵

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.

Administration: Providing, supplying, supervising, facilitating, or otherwise participating in the Use or Attempted Use by another Person of a Prohibited Substance or Prohibited Method. However, this definition shall not include the actions of bona fide medical personnel involving a Prohibited Substance or Prohibited Method used for genuine and legal therapeutic purposes or other acceptable justification and shall not include actions involving Prohibited Substances which are not prohibited in Out-of-Competition Testing unless the circumstances as a whole demonstrate that such Prohibited Substances are not intended for genuine and legal therapeutic purposes or are intended to enhance sport performance.

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.

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

Archives Act 1983 (Cth): is the Commonwealth legislation that governs the retention and disposal of Commonwealth records. SIA's Disposal Authority document is approved pursuant to that legislation, and it categorises types of records and classifies how long those records must be retained, and how they must be stored.

ASDMAC: Australian Sports Drug Medical Advisory Committee constituted under the SIA Act.

Athlete: Any Person who competes in sport at the international level (as defined by each international federation), or the national level (as defined by each National Anti-Doping Organisation). For the purposes of this Anti-Doping Policy, Athlete includes any Person falling within the scope of Article 1.3.1 or 1.3.2. An Anti-Doping Organisation has discretion to apply anti-doping rules to an Athlete who is neither an International-Level Athlete nor a National-Level Athlete, and thus to bring them within the definition of 'Athlete'. In relation to Athletes who are neither International-Level nor National-Level Athletes, an Anti-Doping Organisation may elect to: conduct limited Testing or no Testing at all; analyse 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 Athlete over whom an Anti-Doping Organisation has authority who competes below the international or national level, then the Consequences set out in the Code (except Article 14.3.2) must be applied. For purposes of Article 2.8 and Article 2.9 and for

⁵⁵ Comment: Defined terms shall include their plural and possessive forms, as well as those terms used as other parts of speech.



purposes of anti-doping information and education, any Person who participates in sport under the authority of any Signatory, government, or other sports organisation accepting the Code is an Athlete.

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Athlete Biological Passport: The program and methods of gathering and collating data as described in the International Standard for Testing and Investigations and International Standard for Laboratories.

Athlete Support Person: Any coach, trainer, manager, agent, team staff, official, medical, paramedical personnel, parent or any other Person working with, treating or assisting an Athlete participating in or preparing for sports Competition whether a member of a sporting administration body or not falling within the scope of Article 1.3.1 or 1.3.2.

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

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.

Atypical Passport Finding: A report described as an Atypical Passport Finding as described in the applicable International Standards.

Australian Privacy Principles: are contained in Schedule 1 to the Privacy Act 1988 (Cth). SIA is required to comply with this legislation.

CAS: The Court of Arbitration for Sport.

Code: The World Anti-Doping Code.

Competition: A single race, match, game or singular sport contest. For example, a basketball game or the finals of the Olympic 100-meter race in athletics. For stage races and other sport contests where prizes are awarded on a daily or other interim basis the distinction between a Competition and an Event will be as provided in the rules of the applicable international federation.

Consequences of Anti-Doping Rule Violations ('Consequences'): An Athlete's or other Person's violation of an anti-doping rule may result in one or more of the following:

- (a) Disqualification means the Athlete's results in a particular Competition or Event are invalidated, with all resulting Consequences including forfeiture of any medals, points and prizes;

⁵⁶ Comment to *Athlete*: This definition makes it clear that all *International* and *National-Level Athletes* 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 Athletes* 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 14.3.2). The decision on whether Consequences apply to recreational-level *Athletes* 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.]



- (b) Ineligibility means the Athlete 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 Athlete 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 14. Teams in Team Sports may also be subject to Consequences as provided in Article 11 of the Code.

Contaminated Product: A product that contains a Prohibited Substance that is not disclosed on the product label or in information available in a reasonable internet search.

Disqualification: See Consequences of Anti-Doping Rule Violations.

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 series of individual Competitions conducted together under one ruling body (for example, the Olympic Games, FINA World Championships, or Pan American Games).

Event Venues: Those venues so designated by the ruling body for the Event.

Event Period: The time between the beginning and end of an Event, as established by the ruling body of the Event.

Fault: Fault is any breach of duty or any lack of care appropriate to a particular situation. Factors to be taken into consideration in assessing an Athlete or other Person's degree of Fault include, for example, the Athlete's or other Person's experience, whether the Athlete or other Person is a Minor, special considerations such as impairment, the degree of risk that should have been perceived by the Athlete and the level of care and investigation exercised by the Athlete in relation to what should have been the perceived level of risk. In assessing the Athlete's or other Person's degree of Fault, the circumstances considered must be specific and relevant to explain the Athlete's or other Person's departure from the expected standard of behaviour. Thus, for example, the fact that an Athlete would lose the opportunity to earn large sums of money during a period of Ineligibility, or the fact that the Athlete only has a short time left in his or her career, or the timing of the sporting calendar, would not be relevant factors to be considered in reducing the period of Ineligibility under Article 10.5.1 or 10.5.2⁵⁷.

Financial Consequences: See Consequences of Anti-Doping Rule Violations.

⁵⁷ Comment: The criteria for assessing an Athlete's degree of *Fault* is the same under all Articles where *Fault* is to be considered. However, under Article 10.5.2 no reduction of sanction is appropriate unless, when the degree of *Fault* is assessed, the conclusion is that *No Significant Fault or Negligence* on the part of the Athlete or other Person was involved.



In-Competition: Unless provided otherwise in the rules of an international federation or the ruling body of the Event in question, 'In-Competition' means the period commencing twelve hours before a Competition in which the Athlete is scheduled to participate through the end of such Competition and the Sample collection process related to such Competition⁵⁸.

Individual Sport: Any sport that is not a Team Sport.

Ineligibility: See Consequences of Anti-Doping Rule Violations.

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

International-Level Athlete: An Athlete who competes in sport at the international level, as determined by the International Sporting Federation for that sport in accordance with the International Standard for Testing and Investigations.

International Standard: A standard adopted by WADA in support of the Code. Compliance with an International Standard (as opposed to another alternative standard, practice or procedure) shall be sufficient to conclude that the procedures addressed by the International Standard were performed properly. International Standards shall include any Technical Documents issued pursuant to the International Standard.

Lower-Level Athlete: means a Person who is neither a National-Level Athlete nor an International-Level Athlete.

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

Marker: A compound, group of compounds or biological variable(s) that indicates the Use of a Prohibited Substance or Prohibited Method.

Metabolite: Any substance produced by a biotransformation process.

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

NAD scheme: The National Anti-Doping scheme which is contained in Schedule 1 to the Sport Integrity Australia Regulations 2020 (Cth).

National Anti-Doping Organisation: The entity(ies) designated by each country as possessing the primary authority and responsibility to adopt and implement anti-doping rules, direct the collection of Samples, the management of test results, and the conduct of hearings 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 sporting Event or Competition involving International or National-Level Athletes that is not an International Event.

National Federation: A national or regional entity which is a member of or is recognised by an international federation as the entity governing the international federation's sport in that nation or region.

⁵⁸ Comment: An international federation or ruling body for an Event may establish an "In-Competition" period that is different than the Event Period.



National-Level Athlete: means:

- an Athlete in the SIA CEO's Registered Testing Pool or domestic testing pool; or
- an Athlete who participates in or prepares for a sporting event or sporting competition declared under clause 1.05A of the NAD scheme and published on the SIA website.

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

National Sports Tribunal: The Australian tribunal established by the National Sports Tribunal Act 2019 (Cth).

No Fault or Negligence: The Athlete or other Person's establishing that he or she did not know or suspect, and could not reasonably have known or suspected even with the exercise of utmost caution, that he or she had Used or been administered the Prohibited Substance or Prohibited Method or otherwise violated an anti-doping rule. Except in the case of a Minor, for any violation of Article 2.1, the Athlete must also establish how the Prohibited Substance entered his or her system.

No Significant Fault or Negligence: The Athlete or other Person's establishing that his or her Fault or negligence, when viewed in the totality of the circumstances and taking into account the criteria for No Fault or Negligence, was not significant in relationship to the anti-doping rule violation. Except in the case of a Minor, for any violation of Article 2.1, the Athlete must also establish how the Prohibited Substance entered his or her system⁵⁹.

NST Act: The National Sports Tribunal Act 2019 (Cth).

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

Participant: Any Athlete or Athlete Support Person.

Person: A natural Person or an organisation or other entity. For the avoidance of doubt, Person includes Athletes and Athlete Support Personnel.

Possession: The actual, physical Possession, or the constructive Possession (which shall be found only if the Person has exclusive control or intends to exercise control over the Prohibited Substance or Prohibited Method or the premises in which a Prohibited Substance or Prohibited Method exists); provided, however, that if the Person does not have exclusive control over the Prohibited Substance or Prohibited Method or the premises in which a Prohibited Substance or Prohibited Method exists, constructive Possession shall only be found if the Person knew about the presence of the Prohibited Substance or Prohibited Method and intended to exercise control over it. Provided, however, there shall be no anti-doping rule violation based solely on Possession if, prior to receiving notification of any kind that the Person has committed an anti-doping rule violation, the Person has taken concrete action demonstrating that the Person never intended to have Possession and has renounced Possession by explicitly declaring it to an Anti-Doping Organisation. Notwithstanding anything to the contrary in this definition, the purchase (including by any electronic or other means) of a Prohibited Substance or Prohibited Method constitutes Possession by the Person who makes the purchase⁶⁰.

⁵⁹ Comment: For Cannabinoids, an Athlete may establish *No Significant Fault or Negligence* by clearly demonstrating that the context of the Use was unrelated to sport performance.

⁶⁰ Comment: Under this definition, steroids found in an Athlete's car would constitute a violation unless the Athlete establishes that someone else used the car; in that event, the Anti-Doping Organisation must establish that, even though the Athlete did not



Prohibited List: The WADA list identifying the Prohibited Substances and Prohibited Methods.

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

Prohibited Substance: Any substance, or class of substances, so described on the Prohibited List.

Provisional Hearing: For purposes of Article 7.9, an expedited abbreviated hearing occurring prior to a hearing under Article 8 that provides the Athlete with notice and an opportunity to be heard in either written or oral form⁶¹.

Provisional Suspension: See Consequences of Anti-Doping Rule Violations.

Publicly Disclose or Publicly Report: See Consequences of Anti-Doping Rule Violations.

Regional Anti-Doping Organisation: A regional entity designated by member countries to coordinate and manage delegated areas of their national anti-doping programs, which may include the adoption and implementation of anti-doping rules, the planning and collection of Samples, the management of results, the review of TUEs, the conduct of hearings, and the conduct of educational programs at a regional level.

Registered Testing Pool: The pool of highest-priority Athletes established separately at the international level by international federations and at the national level by National Anti-Doping Organisations, who are subject to focused In-Competition and Out-of-Competition Testing as part of that international federation's or National Anti-Doping Organisation's test distribution plan and therefore are required to provide whereabouts information as provided in Article 5.6 of the Code and the International Standard for Testing and Investigations.

Sample or Specimen: Any biological material collected for the purposes of Doping Control⁶².

SIA: The Sport Integrity Australia.

SIA Act: The Sport Integrity Australia Act 2020 (Cth).

SIA Regulations: The Sport Integrity Australia Regulations 2020 (Cth) (the National Anti-Doping scheme is contained in Schedule 1 to the Regulations).

Signatories: Those entities signing the Code and agreeing to comply with the Code, as provided in Article 23 of the Code.

Specified Substance: See Article 4.2.2.

Sport: The sporting administration body who is party to this Anti-Doping Policy.

Sporting Administration Body: A sporting administration body as defined by the SIA Act.

have exclusive control over the car, the Athlete knew about the steroids and intended to have control over the steroids. Similarly, in the example of steroids found in a home medicine cabinet under the joint control of an Athlete and spouse, the Anti-Doping Organisation must establish that the Athlete knew the steroids were in the cabinet and that the Athlete intended to exercise control over the steroids. The act of purchasing a Prohibited Substance alone constitutes Possession, even where, for example, the product does not arrive, is received by someone else, or is sent to a third party address.

⁶¹ Comment: A Provisional Hearing is only a preliminary proceeding which may not involve a full review of the facts of the case. Following a Provisional Hearing, the Athlete remains entitled to a subsequent full hearing on the merits of the case. By contrast, an 'expedited hearing', as that term is used in Article 7.9, is a full hearing on the merits conducted on an expedited time schedule.

⁶² Comment: 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.



Sporting Administration Body Rules: The Sporting Administration Body Rules as extracted from the NAD scheme. Definitions from the NAD scheme are to be used when interpreting the Sporting Administration Body Rules.

Strict Liability: The rule which provides that under Article 2.1 and Article 2.2, it is not necessary that intent, Fault, negligence, or knowing Use on the Athlete's part be demonstrated by the Anti-Doping Organisation in order to establish an anti-doping rule violation.

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 Organisation 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.

Tampering: Altering for an improper purpose or in an improper way; bringing improper influence to bear; interfering improperly; obstructing, misleading or engaging in any fraudulent conduct to alter results or prevent normal procedures from occurring.

Target Testing: Selection of specific Athletes for Testing based on criteria set forth in the International Standard for Testing and Investigations.

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.

Trafficking: Selling, giving, transporting, sending, delivering or distributing (or Possessing for any such purpose) a Prohibited Substance or Prohibited Method (either physically or by any electronic or other means) by an Athlete, Athlete Support Person or any other Person subject to the jurisdiction of an Anti-Doping Organisation to any third party; provided, however, this definition shall not include the actions of 'bona fide' medical Personnel involving a Prohibited Substance used for genuine and legal therapeutic purposes or other acceptable justification, and shall not include actions involving Prohibited Substances which are not prohibited in Out-of-Competition Testing unless the circumstances as a whole demonstrate such Prohibited Substances are not intended for genuine and legal therapeutic purposes or are intended to enhance sport performance.

Tribunal: A hearing body that is compliant with Article 8 of the Code.

TUE: Therapeutic Use Exemption, as described in Article 4.4.

TUE Committee or TUEC: Therapeutic Use Exemption Committee. In Australia, this role is fulfilled by the Australian Sports Drug Medical Advisory Committee.

TUERC: Therapeutic Use Exemption Review Committee.

UNESCO Convention: The International Convention against Doping in Sport adopted by the 33rd session of the UNESCO General Conference on 19 October 2005 including any and all amendments adopted by the States Parties to the Convention and the Conference of Parties to the International Convention against Doping in Sport.

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

WADA: The World Anti-Doping Agency.



Document control

Ownership and Approval	
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3	2020	<ul style="list-style-type: none"> Removed Introduction Automated numbering and cross-referenced clauses Page 2 replaced "Australian Sports Anti-Doping Authority" with "Sport Integrity Australia Regulations 2020" Replaced ASAD with SIA Inserted new clause 1.4 4.4.2 replaced "at www.asdmac.gov.au" with "assistance with on the TUE section of www.sportintegrity.gov.au" 5.4.5 replaced "www.asada.gov.au" with "www.sportintegrity.gov.au" 6A.1.1 replaced "...body Code of Conduct" with "body's disciplinary rules of policies" Inserted new clause 7.9B 8.4.1 reworded 8.4.2 replaced or other relevant hearing body recognised or approved by the SIA CEO with "the NST", and deleted CAS (fees) 8.5 replaced paragraph 2 	Kate Walker Assistant Director, Sports Engagement Australian Sports Anti-Doping Authority, 29 June 2020	



Version History				
Version	Release Date	Amendment Summary	Author	Approval
		<ul style="list-style-type: none"> • 8.6 replaced “CAS” with “NST” • 8.8 replaced “or another hearing body CAS” with “the NST” • 8.9 Various, including inserting “In the case of the NST, this clause operates subject to any relevant confidentiality direction made by an NST member” • New clause 10.6.5 • 13.2.2 various • 13.6.1 inserted “...or to the Appeals Division of the NST and “or the NST” • Footnote 53 • 13.6.1(b) inserted “NST” at the end of the clause • 13.7 CAS fees • Article 18 amended “This article has not been included by SIA” • Note beneath 22.2.6 replace “body Code of Conduct” with “...body’s disciplinary rules or policies” • Definitions: removed ADRVP, ASADASIA, ASADASIA Act, ASADASIA Regulations, inserted footnote 57, removed “...of the Privacy Amendment (Enhancing Privacy Protection Act 2020 (Cth) which amends” and replaced with “to”, inserted Lower Level Athlete, replaced “Australian Sports Anti-Doping Authority” with Sport Integrity Australia Regulations 2020 (Cth)”, replaced definition of National Level Athlete, inserted National Sports Tribunal, inserted NST Act, deleted SAB, inserted SIA, SIA Act, SIA Regulations 		



Publishing			
Version	Published date	Published by	Published in
1	2008	Helen Davis	Website
2	2014	Helen Davis	Website
3	August 2020	Helen Davis	Website