

Adverse Analytical Finding (AAF) Checklist

Below are the basic steps all *Anti-Doping Organizations (ADOs)* shall routinely perform when in receipt of an *Adverse Analytical Finding (AAF)* report from a Laboratory.

1. Receipt of the Laboratory Analytical Result Record

- Carefully read the Analytical Result Record and make sure that it contains all relevant information (*Sample* code, *Athlete's* gender, date of *Sample* Collection Session, *Testing* Authority, Suitable Specific Gravity for Analysis, Suitable Volume of Urine for Analysis, etc.).
- Make sure that you don't miss any comment the Laboratory may have included.
- Always verify the date of the *Sample* Collection Session, the date of receipt at the Laboratory and the date of analysis to immediately identify any unusual delays in the *Sample* transportation/storage or analytical process that should be investigated.
- Don't hesitate to seek further clarification from the Laboratory, if necessary.

2. Conducting the initial review

- If you aren't the *Sample* Collection Authority, make sure to obtain the *Doping Control* form as soon as possible upon receipt of the Analytical Result Record.
- Verify that the *Sample* code on the *Doping Control* form matches the *Sample* code on the Analytical Result Record.
- Laboratories usually allocate a different *Sample* code called an internal code – you must always refer to the *Sample* code.
- If in doubt, verify the spelling of the name of the *Athlete* and nationality against any reliable database available in the sport in question.
- Verify that the *Doping Control* form is completed correctly and includes the *Athlete's* signature.
- Carefully read and record any comment made by the *Athlete* in the declaration of medication/supplement box and in the general comment box of the *Doping Control* form.
- Make sure that there is no *Supplementary Report Form* attached to the main *Doping Control* form.
- In case the substance found is a glucocorticoids, verify the route of administration as it is prohibited only when administered by oral, intravenous, intramuscular or rectal routes.

Carefully verify with your *ADO*, or any other relevant *ADO*, if the *Athlete* has a *Therapeutic Use Exemption (TUE)* on file.

- If this is the case, check that the *TUE* covers the *Prohibited Substance* in question and the date of the *Sample* Collection Session. Also validate that the concentration found in the *Sample* is consistent with the route of administration and dosage indicated on the *TUE* approval.
- Make sure that any serious apparent departure from the relevant *International Standard* is properly investigated before proceeding further with the Results Management process.
- If you have concerns about the *Sample* Collection Session procedure, don't hesitate to contact the *Doping Control Officer (DCO)* in charge of the *Sample* Collection Session directly or through the *Sample* Collection Authority.

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- If you have concerns regarding the Chain of Custody or storage conditions, you can ask the *Sample* Collection Authority to provide you with the Chain of Custody information or ask the Laboratory to confirm that the *Sample*, or batch in which it was received, was in good condition.

3. Notifying the *Athlete* of an *AAF*

- Upon completion of the initial review, the *Athlete* should always be notified promptly in writing.
- This notification can be combined with the “charge” letter as indicated in Results Management, Hearings and Decisions Guidelines (Section 3.4.3). This letter contains information about the *AAF* and the *Athlete’s* rights under the *Code*, including the right to provide an explanation and the right to B *Sample* analysis.
- Ensure that the first notification contains all information mentioned in the template letter (see Results Management, Hearings and Decisions Guidelines, Templates A and B).
- Indicate a clear deadline for (i) requesting B *Sample* analysis (e.g. 5 days) and (ii) provide an explanation in writing (e.g. 7 days).
- The notification can be served by registered letter, courier, fax or e-mail. Send the notice directly to the *Athlete* through a secure means or through a reliable intermediary (e.g. his/her National Federation, agent, coach, legal representative or parents, if the *Athlete* is a *Minor*).

You may refer to the postal or e-mail address(es) indicated by the *Athlete* on the *Doping Control* form or use the mailing address provided by the *Athlete* in his/her whereabouts information.

- If you use the *Athlete’s* e-mail, activate any read receipt or delivery receipt feature available in your e-mail account to avoid any misunderstanding on whether or not the *Athlete* actually received the notice sent to him/her.
- If the notification is sent to the National Federation, coach or legal representative, ensure that you receive a confirmation that the *Athlete* has been duly informed of the content of the notification and of his/her rights (see Template of Confirmation Receipt Form).
- As the procedure is confidential at this point, you must ensure that only *Persons* in your *ADO* with a need-to-know have access to the *AAF* case.
- The *Doping Control* form and Analytical Result Record must, at the minimum, be attached to the first notification letter.

4. Following up on the first notification

B *Sample* analysis

- B *Sample* analysis is a priority. Contact the Laboratory at the time of notification or immediately after to confirm one or more dates when the analysis can be scheduled.
- Ensure that the *Athlete* has either expressly requested or expressly waived the right to his/her B *Sample* analysis. This issue should never be left unclear.
- If the *Athlete* hasn’t requested B analysis by the deadline designated, it is recommended to write to them a second time to confirm that in the absence of a request from them, your *ADO* considers that they have waived their right to the B *Sample* analysis.
- If the *Athlete* has requested the analysis of their B *Sample*, you must confirm to them by return:

i. Where the *Sample* analysis will take place, with the full address and contact details of the Laboratory (the same that performed the A *Sample* analysis);

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The date(s) proposed by the Laboratory – another deadline shall be indicated to choose or confirm the date(s) proposed by the Laboratory;

- iii. Their right to attend the B *Sample* analysis or to be represented;
- iv. That an independent surrogate will be appointed to witness the opening of the B *Sample* if he cannot attend or if he cannot send a representative;
- v. The financial conditions; and
- vi. His right to request the B *Sample* analysis Laboratory Documentation Package.

- An *Athlete* who has requested the analysis of their B *Sample* may seek a postponement of the B analysis. Whilst such requests may be granted on reasonable and objective grounds (visa, long travel, expert's availability), your ADO is entitled to reject them should they be unjustified, unreasonable or should they result in delaying the B *Sample* analysis well beyond the initial deadline.

- Irrespective of whether or not the *Athlete* has requested the B *Sample* analysis, the results of the analysis shall be communicated to the *Athlete* and/or their representative(s).

Athletes' explanation

- If the *Athlete* has provided an explanation within the designated time-line, you should immediately follow-up on any new issue raised in the explanation (e.g. alleged departure(s), medical explanation...).

- Even if the *Prohibited Substance* detected is not a Threshold Substance, you may ask the Laboratory to provide you with the concentration of the *Prohibited Substance* or the *Metabolite* found in the *Athlete's Sample*, which could help assessing the plausibility of the *Athlete's* explanation.

- If the *Athlete* has not filed an explanation within the designated deadline, this should be acknowledged.

- You may accept extensions of the deadline to provide an explanation, especially if the case is a complex one. However, this new deadline shall not apply to the deadline for requesting the B *Sample* analysis if the same deadline was initially granted.

- Except in exceptional circumstances, no more than one explanation shall be accepted at this stage of the proceedings knowing that the *Athlete* will have a further opportunity to file a full defense brief before the relevant hearing body at a later stage.

5. Formally charging the *Athlete*

- A formal notice of charge shall be sent to the *Athlete* in writing normally upon receipt of the B analysis results (if it has been conducted) and/or upon preliminary review of the *Athlete's* explanation and all evidence on file. As indicated in Annex B (Section 3) as well as in Section 3.4.3 of the Results Management, Hearings and Decisions Guidelines, this letter can be sent earlier and combined with the AAF notification after the initial review.

- This notice shall clearly identify the ADRV(s) the *Athlete* is considered to have committed, the applicable *Consequences* and the *Athlete's* right to a hearing and all related information (when, to whom and in what form should the request for a hearing be sent?).

- Before sending the notice of charge, the ADOs should systematically and carefully verify on ADAMS or any other reliable database, if the *Athlete* has committed any other ADRV(s) in the previous 10 years (statute of limitation).

- The *Provisional Suspension* could be imposed at this stage if it hasn't been imposed already (see World Anti-Doping Code, Article 7.9).

- At this stage, the *Athlete* can be given the opportunity to admit the ADRV with all *Consequences*.

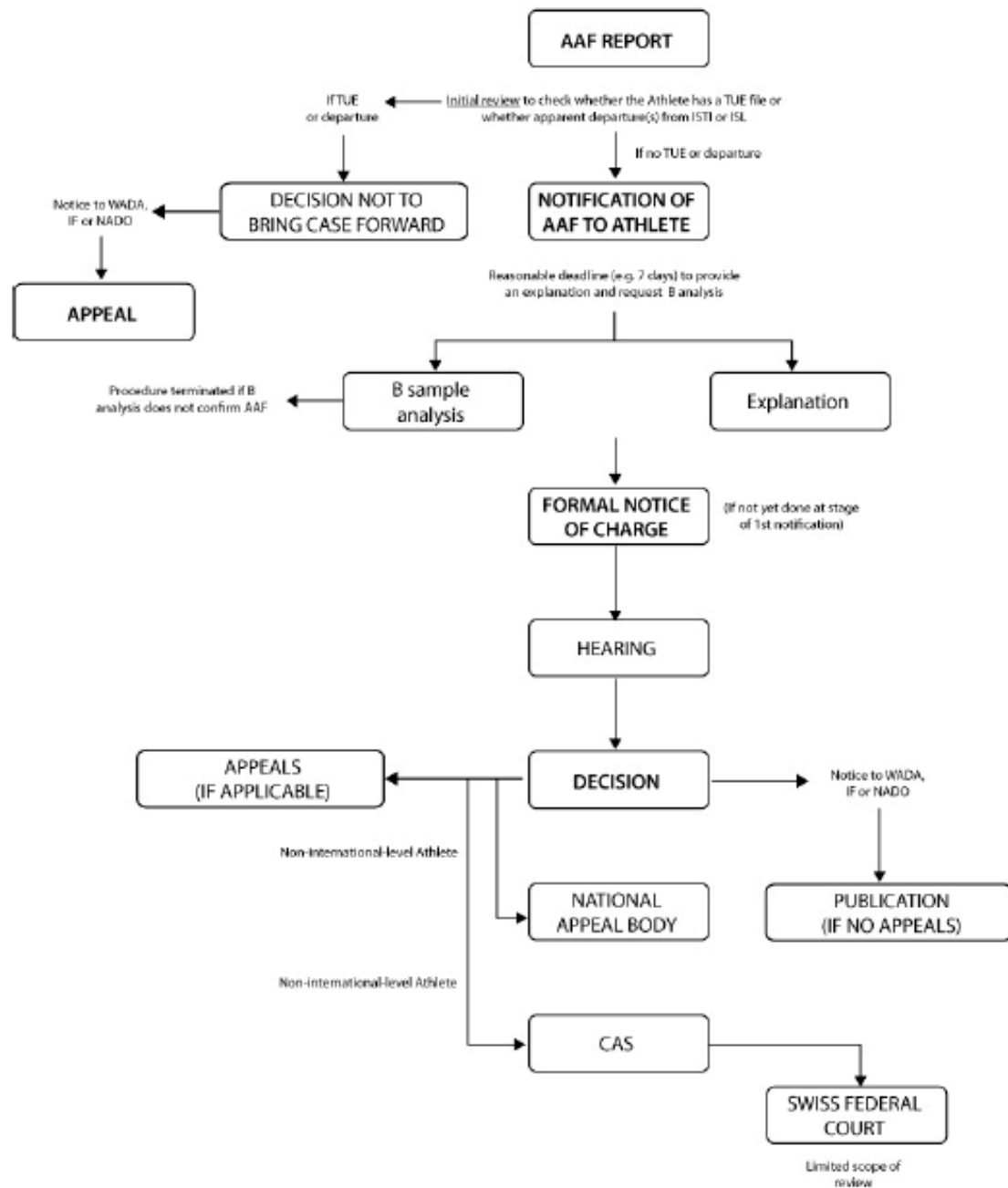
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Annex M: Chart: Results Management Process – AAF

RESULTS MANagements PROCESS — ADVERSE ANALYTICAL FINDING (AAF)



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