



# Assurance Framework

Ongoing support and  
compliance process

Version 1.0

# Introduction

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This document sets out the ongoing anti-doping support and compliance process for a National Governing Body (NGB) of sport once it has evidenced all 24 requirements of the [Assurance Framework](#) (the primary mechanism through which an NGB demonstrates its compliance with the [UK National Anti-Doping Policy](#)). The main aim of this process is to support NGBs in maintaining their compliant status and, where possible, to help them to develop their anti-doping programme beyond the mandatory standards.

The process set out below therefore only applies to an NGB once it has successfully evidenced all 24 Assurance Framework requirements to UKAD.

## Ongoing Support and Compliance Monitoring Process

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The ongoing support and compliance monitoring process will have three key features (with further details in the document below):

1. Support Programme (accessible by all NGBs)
2. Annual Submission (completion required by all NGBs)
3. Reviews (only applicable to a select number of NGBs on an annual basis)



# How does an NGB maintain its compliant status?

To maintain its compliant status, an NGB is required to continually meet its roles and responsibilities set out in section 4 of the [UK National Anti-Doping Policy](#). In relation to the Assurance Framework, once an NGB has had all 24 requirements approved by UKAD, the process of maintaining compliance will in most cases be straightforward, with the majority of the work having been done in the initial implementation.

The table below lists the ongoing actions required to be taken by an NGB for each of the 24 Assurance Framework requirements. Those marked in the

blue boxes are those which will (be most likely to) require annual updates from an NGB. *Italic font indicates examples of best practice and UKAD encourages NGBs to strive for these standards. For more details, please refer to the guidance document [here](#).*

NGBs are also advised to regularly consider whether any changes at the NGB might affect their compliant status (for example, a new written agreement or membership system is introduced by the NGB).

Requirement	Annual update required
<b>Organisation and Governance</b>	
1. To designate a staff member or other person to lead on anti-doping at the NGB and ensure that at least that individual has completed the eLearning course made available by UKAD	<p>An NGB must inform UKAD if the individual carrying out the role of the ADL changes, with the new ADL required to complete the mandatory training within three months of appointment to the role.</p> <p><i>Aside from the designated ADL, if there are other individuals within the organisation that play an active role in anti-doping, the eLearning training is also available for those individuals to complete</i></p>
2. To designate a Board member to lead on anti-doping and ensure that at least that individual has completed the eLearning course made available by UKAD	<p>An NGB must inform UKAD if the individual completing the role of the Board ADL changes, with the new Board ADL required to complete the mandatory training within three months of appointment to the role.</p> <p><i>As the whole NGB Board is likely to have oversight of and accountability for anti-doping, the Board eLearning training is available for other or all Board members to complete. Resource permitting, the UKAD Board also welcomes any request for Board-to-Board engagement with an NGB</i></p>



<p>3. To ensure that anti-doping is discussed as part of a Board meeting agenda at least once per year</p>	<p>An NGB must continue to have a discussion at Board level at least once per year.</p> <p><i>An NGB could discuss anti-doping more frequently, and/or add anti-doping onto its risk register, which can then be referred to within the discussion(s)</i></p>
<p>4. To annually publish an overview of anti-doping activities carried out by the NGB over the previous year</p>	<p>An NGB must continue to publish this externally on an annual basis.</p> <p>It is recommended that this is included as part of the NGB's Annual Report. Alternatively, it can be published separately, either in a report or through a web article</p>
<p>5. To provide a point of contact for UKAD in relation to (a) Education, (b) Testing, (c) intelligence and investigations, (d) communications, (e) medical/TUEs and (f) Results Management and legal affairs</p>	<p>None, unless a contact point changes</p>
<p>6. To confirm the NGB's jurisdictional links to its International Federation and/or other NGBs and/or other member bodies</p>	<p>None, unless circumstances change</p>
<p>7. To confirm the NGB's membership and/or licence structure (for example local associations, clubs, individuals etc.) and how it has jurisdiction over all Athletes, Athlete Support Personnel and other Persons</p>	<p>None, unless circumstances change</p>
<p>8. To confirm that an information sharing agreement with UKAD has been signed (where the NGB has been requested to sign such an agreement by UKAD)</p>	<p>None, unless circumstances change</p>



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## Legal

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9. To confirm adoption of the UK Anti-Doping Rules or other anti-doping rules agreed by UKAD to be Code-compliant and consistent with the Policy

Aside from communicating any changes made by UKAD, no action is required for NGBs that adopt the UK Anti-Doping Rules verbatim. For other NGBs, action may be required to amend anti-doping rules (with time for UKAD to review and approve these) and/or communicate any changes to participants

10. To evidence how the NGB ensures that its anti-doping rules are binding on all Athletes, Athlete Support Personnel, and other Persons under its jurisdiction

Action is only required if the way in which an NGB binds participants to its anti-doping rules changes. For example, this could be the addition of new membership categories or a change to a membership management system, which would then require the appropriate wording being included

11. To ensure that any written agreements with Athletes, Athlete Support Personnel, and other relevant Persons (including NGB employees involved in any aspect of Doping Control) include provisions confirming that they

(1) agree to be bound by the NGB's anti-doping rules, and

(2) will cooperate with Code-compliant anti-doping investigations and proceedings

Action is only required if an NGB has new written agreements with Athletes, Athlete Support Personnel, or other relevant Persons, or changes are made to existing agreements.

*It is also recommended that any Athlete Support Personnel who are not employed by the NGB, but provide support to one or more of its Athletes, have an agreement with similar provisions. These individuals may include private doctors and coaches, with the agreement either sitting between the individual and the NGB, or where applicable, between the individual and Athlete directly. NGBs should ensure that Athletes using external Athlete Support Personnel are aware that this is recommended.*

*For Team Sports, it is also recommended that wording of this nature is put in place for written agreements that a club or team may have with Athletes and/or Athlete Support Personnel*



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| <p>12. To ensure that any licence, membership, or 'one-off' Event or Competition entry binds Athletes and/ or Athlete Support Personnel to the NGB's anti-doping rules for a minimum period of 12 months from commencement of the license or membership, or from the date of the relevant Event or Competition</p> | <p>Action is only required if any short-term licence, membership, or 'one-off' Event or Competition entry changes. For example, this could be the addition of new membership categories or a change to a membership management system, which would then require the appropriate wording being included</p> |
| <p>13. To have a mechanism in place through which an Athlete can confirm their retirement from competition</p>   | <p>None, unless circumstances change</p>   |

## Education

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| <p>14. To create a Clean Sport Education Strategy approved by UKAD and the NGB Board</p> | <p>Action is only required if updates are made during the course of the Strategy, or a new version needs to be created. An NGB should allow sufficient time for the creation of a new version before the existing Strategy expires. The timing of this will depend on the specific end date of an NGB's Strategy, and the extent of changes that are likely to be required</p> |
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15. To annually create, implement and report progress against a Clean Sport Implementation Plan approved by UKAD, working towards the objectives of the Strategy

An NGB must continue to ensure that Education and communication to mandatory groups of Athletes and Athlete Support Personnel is taking place in line with the approved Implementation Plan. An NGB should keep the plan up to date, tracking the progress against each action.

When the time period (typically a year) covered by the Implementation Plan is nearing completion, an NGB must review and evaluate the activities conducted, before utilising this information to create the next Implementation Plan



16. To maintain accurate records of anti-doping Education delivered to Athletes, Athlete Support Personnel and other Persons and make these records available to UKAD electronically (within a reasonable timeframe) on request

Action is only required if UKAD requests details of the Education records. An NGB should however ensure that all records of anti-doping Education are shared with, and collated by, the individual with responsibility for maintaining these records

## Communication

17. To evidence that:

- a) as a minimum, all Athletes and Athlete Support Personnel on the NGB's performance pathway are advised annually of the changes to the Prohibited List
- b) where applicable, all Athletes required to obtain a TUE in advance (either by applying to UKAD or the International Federation) are advised annually of their responsibilities and the potential consequences of failing to meet them

- a) An NGB must communicate the changes to the Prohibited List before it comes into force on 1 January each year. It is recommended that NGBs utilise the UKAD resources available for this communication, which are typically available in October shortly after WADA publishes the new Prohibited List.
- b) An NGB must communicate annually to Athletes in the National TUE Pool (defined [here](#)).

This communication should ideally be conducted each summer once UKAD has confirmed that year's National TUE Pool for the NGB's sport.

*Alongside this direct communication to Athletes, it is recommended that medical staff supporting these Athletes are also notified.*

*An NGB could also communicate TUE information to Athletes just below the National TUE Pool, so that they are also aware of their responsibilities, including those that will be applicable if they reach a level within the National TUE Pool*

18. To demonstrate commitment to clean sport through regular, pro-active communications on anti-doping (for example through NGB membership newsletters, social media or supporting Clean Sport Week)

An NGB must continue to promote clean sport messages across their sport's participants.

It is recommended that an NGB makes use of the resources provided by UKAD, including those available to support UKAD's Clean Sport Week, which typically takes place in May each year. Other examples of pro-active communications include anti-doping reminders on social media, newsletter articles on recent NGB anti-doping activities or guidance on the use of supplements, medication and nutrition

19. To provide anti-doping information on the NGB's website

For an NGB which utilises the Website Template Copy provided by UKAD, action is only required if UKAD makes changes to this wording. If that happens, an NGB will be notified, and then required to make any applicable changes to its website.

For an NGB which creates its own anti-doping website content, this information must be reviewed regularly for accuracy and updated as required

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## **Intelligence and Investigations**

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20. To confirm that the NGB has a disciplinary rule or regulation that makes it a disciplinary offence for any person under its jurisdiction:

None, unless circumstances change

- a) to fail or refuse (without compelling justification) to cooperate with any Code-compliant anti-doping investigation or proceedings
- b) to commit an act of misconduct related to anti-doping which does not amount to an Anti-Doping Rule Violation, with appropriate action taken where necessary

21. To confirm that if the NGB learns of information relating in any way to an apparent Anti-Doping Rule Violation by an Athlete or Athlete Support Person under its jurisdiction, it shall immediately report that information in full to UKAD

An NGB must continue to ensure any relevant information is shared with UKAD immediately.

An NGB should take steps to ensure that in addition to NGB staff, all individuals participating in their sport (including Athletes, Athlete Support Personnel and staff at clubs) are aware of their responsibilities around sharing information and the methods of communication available to them

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22. To confirm that the NGB maintains accurate records relating to Athletes and Athlete Support Personnel under its jurisdiction which will enable it to confirm whether or not any individual identified by UKAD participates in its sport

Action is only required if UKAD requests details of the participation records

## Testing

23. To provide support to UKAD's Testing programme, including providing UKAD with information upon request

Action is only likely to be required when information/support is requested by UKAD.

UKAD requests information from some NGBs through an annual survey (typically in Autumn) to support the upcoming year's Test Distribution Plan. However, other information may be requested on an ad-hoc basis during the year, including in the build up to a Major Games/ Championships, or when new Athletes are added to the National Registered Testing Pool or Domestic Testing Pool

24. To ensure that consent from a parent, carer, or other relevant responsible adult is in place for the Testing of Minors, and this is communicated to the relevant people alongside any relevant procedures for the Testing of Minors

Action to communicate the consent and relevant Testing procedures is only required if there are Minors that fall into the National TUE Pool for the NGB's sport (defined [here](#))





## What support does UKAD provide to assist an NGB with these actions?

In addition to the guidance provided in the [Assurance Framework](#), UKAD offers a wide range of support to assist NGBs in maintaining their compliant status, including:

- Supporting resources, which include additional guidance and template wording that can be adapted to each individual NGB
- Access to a series of workshops and webinars throughout the year. These are based on a range of topics and include the opportunity to learn from, and share experiences with, other NGBs
- Bespoke support from UKAD staff as required



## How does an NGB need to evidence its ongoing compliance to UKAD?

On an annual basis, all NGBs are required to complete an Assurance Framework Annual Submission. This involves providing information and/or evidence related to a select number of the Assurance Framework requirements, predominantly those referenced above that are likely to require action from an NGB on a regular basis. The requirements that form part of the Annual Submission are subject to change and selected using a risk-based approach, which aims to minimise the reporting burden on NGBs. Details of the requirements that will need to be evidenced for an upcoming year will be communicated in advance to NGBs to allow adequate time for the collation of any information or evidence.

Following completion of the Annual Submission, UKAD reviews the information and/or evidence provided by an NGB and then provides each NGB with the outcome of its review. Some NGBs may be required to take action to resolve any issues of non-compliance as part of this process.

In addition to the Annual Submission, NGBs may be asked to provide specific information or evidence of their compliance with the Assurance Framework to UKAD at any given time throughout the year. In light of this, UKAD requests that all NGBs retain records of any actions taken to meet the requirements of the Assurance Framework (such as emails to Athletes) so that these can be presented to UKAD as evidence of an NGB's ongoing compliance.





## How else could an NGB’s anti-doping programme be assessed?

In addition to the Annual Submission, each year a select number of NGBs are required to complete a more in-depth Assurance Framework Review with UKAD. These Reviews are an opportunity for NGBs to evidence their compliance with their responsibilities under the UK National Anti-Doping Policy, including some or all of the 24 requirements of the Assurance Framework. The Reviews also offer an opportunity for an NGB and UKAD to work together to identify best practice to share more widely, as well as potential areas where an NGB could develop their anti-doping programme and further help to mitigate the risk of doping in their sport.

After an Assurance Framework Review has been completed, an NGB is given the outcome, which can include actions (with specific timeframes attached) to resolve any areas of potential non-compliance identified as part of the Review.

The NGBs required to complete an Assurance Framework Review in any given year is based on a number of factors, including:

- The doping risk in the NGB’s sport, as assessed by UKAD
- The level of public funding received by the NGB
- The information and evidence previously provided by an NGB to UKAD, including any areas for development that were identified
- Any known information about potential areas of non-compliance by an NGB with the UK National Anti-Doping Policy and/or World Anti-Doping Code

NGBs are also invited to voluntarily request an Assurance Framework Review from UKAD, particularly if there are areas in which they would like specific support to develop their anti-doping programme. Please note that this would be available subject to UKAD capacity.

UKAD will contact any NGB required to complete an Assurance Framework Review with further details, including the area(s) to be reviewed, how the review will be conducted and who will be involved. Wherever possible, UKAD will take account of an NGB’s other commitments and priorities when scheduling the timing for a Review.

### Top Tips

- Responsibility for anti-doping should sit across an NGB’s Board and Senior Management Team, not just with the anti-doping lead and Board anti-doping lead. An NGB should therefore take steps to ensure that all relevant staff and Board members are suitably trained and up-to-date on the NGB’s anti-doping programme
- Any emails/information related to the Assurance Framework should be retained in case they are required as a means of evidencing anti-doping activity (including communications to Athletes)
- An NGB should regularly check its compliance against all 24 requirements of the Assurance Framework, as other circumstances changing can impact on any of these
- Given they are likely to face similar challenges, UKAD encourages NGBs to meet and share anti-doping experiences with other NGBs, particularly those from the same sport
- If an NGB has any queries or concerns, please contact UKAD’s Assurance team at [assurance@ukad.org.uk](mailto:assurance@ukad.org.uk)

The UKAD logo consists of the letters 'UKAD' in a bold, white, sans-serif font. The letters are closely spaced and have a slight shadow effect, making them stand out against the red background.

**Protecting Sport**

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