

Assurance Framework

Version 1.0 (April 2021)



Regardless of size,
resource or role,
the requirements
are designed to
fit all National
Governing Bodies

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Foreword to NGBs from the Chair

UK Anti-Doping (UKAD) has a strategic vision to create and maintain confidence in clean sport in the UK, which includes maintaining the confidence of Athletes, Athlete Support Personnel, other participants in sport, and the public at large. Confidence in clean sport is integral to ensure that fans and spectators can believe in what they are seeing, and that all Athletes have the right to compete in doping-free sport knowing that when they win, their success will not be questioned.

Tackling doping and creating a culture of clean sport is not a task that sits with one organisation - it requires the buy-in, commitment, and co-operation of National Governing Bodies (NGBs), participants in sport, and UKAD.

Across the UK, significant steps have been taken by NGBs alongside UKAD to tackle doping. However, the release of a new, updated version of the UK National Anti-Doping Policy ('the Policy') allows anti-doping governance to be taken to the next level with the launch of this Assurance Framework. The introduction of the Assurance Framework will provide NGBs with clear instructions as to how they can meet a number of key requirements derived from the Policy, and thereby enable UKAD to more easily assess NGBs' compliance with the Policy.

In producing the Policy and the Assurance Framework, UKAD consulted extensively with stakeholders over 18 months, refining the content based on valuable feedback received from NGBs of differing sizes, resources and structures.

As you will see, the Assurance Framework covers a variety of matters across anti-doping, broken down into six key areas: Organisation and Governance, Legal, Education, Communications, Intelligence and Investigations, and Testing. Whilst several aspects of the Assurance Framework will be familiar to NGBs (having been included as part of the 2009 version of the Policy), others reflect the updated version of the Policy and emphasise UKAD's desire to increase awareness and understanding of anti-doping across sport.

The Assurance Framework will help ensure that as an NGB, your organisation is putting in place a comprehensive set of steps that will help to mitigate the risk of doping within your sport, and that you are compliant with the Policy. Compliance with the Policy is not only a condition of eligibility to receive public funding, but more importantly, acts as an opportunity for your organisation to cement its commitment to keeping your sport clean.

Together with a range of resources, templates and support, UKAD staff will be available to guide you through this process and ensure that any challenges are overcome in partnership. UKAD looks forward to working with you on this new anti-doping framework and helping to ensure that your sport develops and maintains a culture of clean sport.



Trevor Pearce CBE QPM
Chair, UK Anti-Doping



Overview of the Assurance Framework

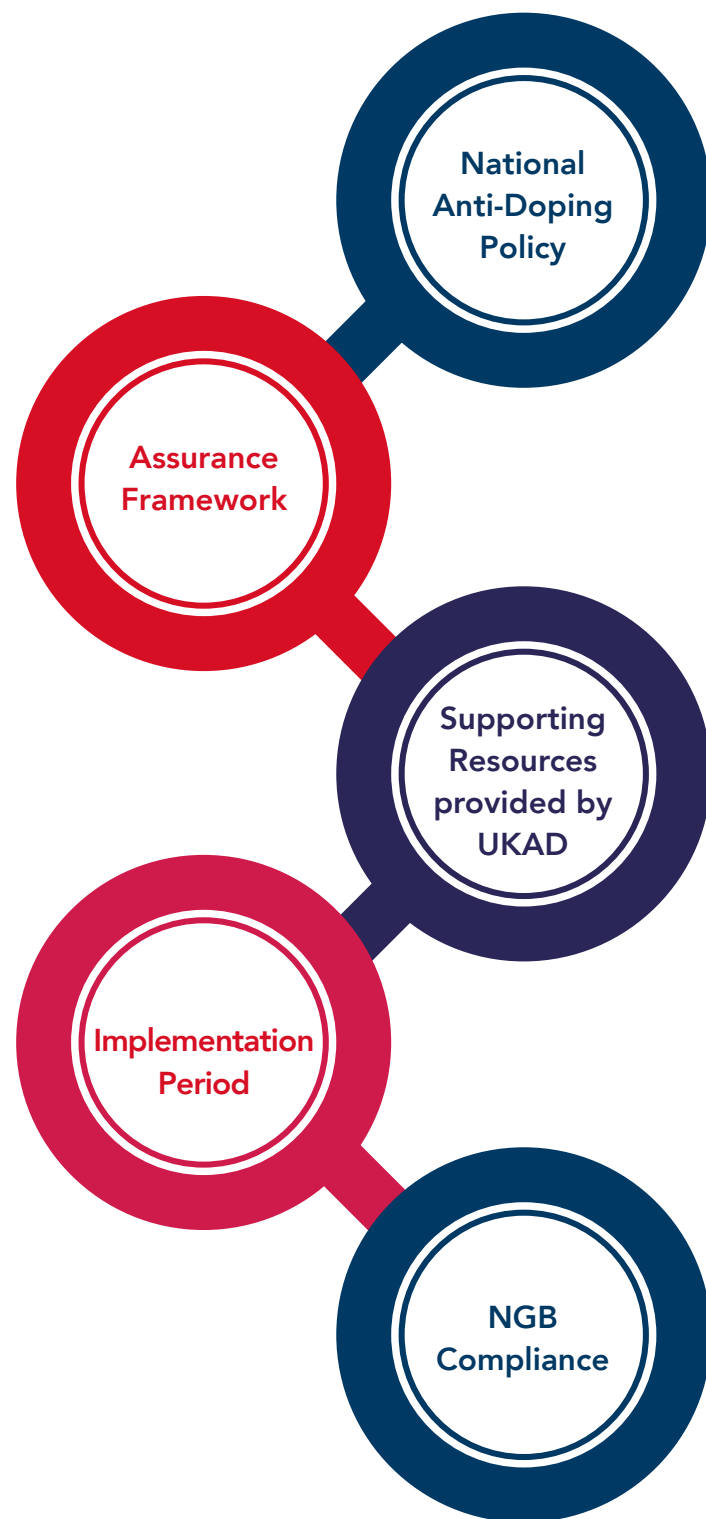
What is the Assurance Framework?

The Assurance Framework is the primary mechanism through which NGBs demonstrate to UKAD their compliance with the Policy. The Assurance Framework outlines a series of mandatory requirements, the fulfilment of which NGBs must evidence in order to give UKAD 'assurance' that they are meeting their anti-doping responsibilities.

The Assurance Framework also sets out some further steps and measures that NGBs can take, if they are able to further develop their anti-doping practices and capabilities, above and beyond the mandatory requirements. UKAD encourages any NGB in this position to go the extra mile.

The Assurance Framework has been created following extensive consultation with a large and varied number of NGBs from across the UK. Whilst NGBs with a larger pool of elite Athletes and Athlete Support Personnel will be required to do more to meet certain requirements within the Assurance Framework, proportionality and flexibility have been built in to ensure that it is adaptable to all NGBs, regardless of size, resource, structure and remit.

For some NGBs, there will be several aspects of the Assurance Framework that are already being met through compliance with the 2009 Policy. However, other aspects are new, and represent a desire to raise anti-doping practices across the board and ensure that sports in the UK are setting the standard globally in this area.



What are the benefits of the Assurance Framework?

The Assurance Framework enables NGBs to ensure that they are taking necessary steps to mitigate the risk of doping in their sport. Taking those steps will also demonstrate an NGB's commitment to clean sport, and so enhance its reputation for clean sport within the UK and worldwide.

Increased collaborative working between UKAD and NGBs, through the Assurance Framework process, will enable the sharing of best practice and the utilisation of clean sport resources and approaches that have been proven to be particularly effective. It will also encourage greater autonomy over time, as an NGB will be provided with the knowledge and resources it needs to tackle doping and foster a culture of clean sport.

Which NGBs does the Assurance Framework apply to?

Any UK or Home Nation NGB that falls under one or more of the following categories:

- An NGB from a sport included in the next Olympic or Paralympic Games (summer or winter)
- An NGB from a sport included in the next Commonwealth Games
- An NGB that receives public funding and/or publicly funded benefits from a Sports Council in the UK
- An NGB that wishes to utilise UKAD services or resources (including UKAD acting as the Sample Collection Agency and/or Results Management Authority for drug Testing completed under its jurisdiction)

On-going compliance with the Policy is a condition for an NGB to be eligible to:

- Be a member of the British Olympic Association and/or British Paralympic Association, and the ability to send a team to an Olympic or Paralympic Games
- Be a member of a Home Nation Commonwealth Games Association, and the ability to send a team to a Commonwealth Games
- Receive public funding and/or publicly funded benefits from a Sports Council in the UK
- Receive publicly funded services or benefits from UKAD, the BOA, the BPA, the Home Nation Commonwealth Games Associations or the UK Government

How and when does an NGB engage with the Assurance Framework process?

The Assurance Framework requires NGBs to make annual submissions to UKAD on their anti-doping activities. However, there are certain activities that an NGB will need to carry out and evidence (upon request) at other times.

A failure to submit evidence when required may be treated as a failure to comply with an NGB's obligations under the Policy.

Details of how to submit evidence and the relevant timeframes will be communicated by UKAD.

The evidence submitted by an NGB will be reviewed by UKAD to determine an NGB's compliance with the Policy, with feedback provided by UKAD where necessary. If required, UKAD may request clarification and/or other information from an NGB as part of the annual Assurance Framework process.

The Assurance Framework does not require evidence in respect of the fulfilment of each



and every NGB responsibility under the Policy. However, each NGB should familiarise itself with all of its anti-doping responsibilities as set out in full at Section 4 of the Policy, as UKAD may from time to time (including outside of the Assurance Framework process) make a specific request of an NGB for evidence in respect of the fulfilment of any Policy responsibility. For the avoidance of doubt, an NGB is obliged to fulfil all of its responsibilities under the Policy, whether assessed by way of the Assurance Framework or not.

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What if an NGB cannot comply with the Assurance Framework requirements and/or the Policy?

If an NGB becomes aware of any facts or circumstances that might reasonably be considered to amount to non-compliance by the NGB with the Assurance Framework or the Policy, it must disclose such facts or circumstances to UKAD in writing and without delay, together with any explanation or justification offered for such non-compliance. This will then be reviewed by UKAD, in conjunction with any relevant Sports Council (where the relevant NGB receives public funding and/or publicly funded benefits). The formal non-compliance process for failures to comply with the Policy, including the potential consequences, is set out in the Annex of the Policy.

In exceptional circumstances, an NGB may be able to demonstrate compliance with one or more of its responsibilities assessed through the Assurance Framework in a manner other than through strict adherence to the requirements of the Assurance Framework - such exceptional circumstances will be determined by UKAD at its discretion and based on specific facts.

How to Use This Document

- 1. Organisation and Governance
- 2. Legal
- 3. Education
- 4. Communications
- 5. Intelligence and Investigations
- 6. Testing

The requirements placed on NGBs within the Assurance Framework are set out under the following areas:

Provided alongside the relevant requirement(s) for each are:

Purpose:
The rationale for the requirement(s) and the benefit(s) to an NGB and/or UKAD

Guidance:
Additional information and help on how the requirement(s) can be met in practical terms

Going Above and Beyond:
Where applicable, the mechanism(s) by which an NGB could go further than the mandatory requirement(s) for compliance under the Policy

Evidence:
The evidence of compliance that will subsequently be required to be provided to UKAD

Resources:
The resources created by UKAD or another body to assist with meeting the requirement(s)

The final section includes key anti-doping terms referenced in this document. Terms used in this document that begin with capital letters but are not defined in the final section are used as defined in the World Anti-Doping Code ('the Code'), the UK Anti-Doping Rules or an International Standard issued by the World Anti-Doping Agency ('WADA') as at the date this document was issued.

Additional Guidance

Data Sharing

Providing evidence of compliance or communicating on a more ad-hoc basis will involve the sharing of information between NGBs and UKAD. This will not necessarily involve the sharing of personal data and so may not give rise to any data protection issues.

Where it does involve personal data, UKAD's legal basis for processing personal data in this context will ordinarily be that it does so for the purposes of a task carried out in the public interest. NGBs should be aware that there is a specific anti-doping clause in Paragraph 27 of Schedule 1 Part 2 of the Data Protection Act 2018, which permits the sharing of special category data with UKAD where such processing is necessary for certain anti-doping purposes.

For instances in which an NGB is required, for the above purposes, to share personal data or information with UKAD relating to an Athlete or Athlete Support Person, no consent from those individuals is required. However, NGBs should ensure they provide appropriate notice. This is typically done in advance via an organisation's privacy notice. Whilst UKAD will be happy to discuss this with NGBs, specific legal advice should be sought where required.

Further information on how and why UKAD uses data can be found in UKAD's anti-doping privacy notice: <https://www.ukad.org.uk/anti-doping-privacy-notice>

Confidentiality

Data and information relating to anti-doping is often confidential in nature. As required by the Policy, it is therefore imperative that an NGB handles all anti-doping information that comes into its possession in the strictest confidence. This includes information shared with the NGB by UKAD, along with information received via other internal and external sources, including Athletes and Athlete Support Personnel.

Anti-doping information, including details of Whereabouts Failures, Testing, Therapeutic Use Exemption ('TUE') certificates, intelligence/ investigations, test results and ongoing cases should only be shared within an NGB on a need-to-know basis.

Confidential Information must only be used for the purposes set out in the Code, the relevant International Standards, the anti-doping rules, the Policy and applicable law.

NGBs should follow appropriate organisational processes and procedures when dealing with confidential information and data, consulting with UKAD in the event of any uncertainty. To assist, an NGB may wish to establish a policy detailing the information that will be shared inside and outside of the organisation, and with whom. Any individual that receives confidential information from the NGB as part of this process should be made aware of their responsibility to maintain that confidentiality.

UKAD is registered to ISO/IEC 27001 covering its entire operations. This is an independently audited international standard which helps to ensure a robust and consistent best practice approach to managing information security around personal records and sensitive data. UKAD endeavours to ensure wherever possible that key organisations within its supply chain also achieve this registration.

These measures are essential to ensure the continued confidence and trust of Athletes and other participants in sport who are required to provide personal information for anti-doping purposes.

Links Between UK and Home Nation NGBs

There are a significant number of requirements within the Assurance Framework that would benefit from collaboration between UK and Home Nation NGBs from the same sport, particularly those relating to Education and communication. To facilitate this, it is recommended that NGBs from the same sport communicate and meet regularly to discuss anti-doping issues, even if there are no jurisdictional links between the NGBs. This could either be through a stand-alone meeting or as an agenda item in a wider meeting.

The challenges that NGBs face will often be the same or similar to others within the same sport, so regular communication will allow best practice to be shared, including any particularly effective Education or communication approaches to the sport's participants.



Looking Forward

Initially, providing the evidence required by the Assurance Framework will require some time and resource. However, complying with the Assurance Framework in future years will become easier as many of the completed documents will carry over due to the ongoing nature of the requirements. UKAD welcomes any feedback from NGBs to help it to seek to continually improve the Assurance Framework year on year.

After the initial implementation period, UKAD will work to create case studies and share best practice to aid other NGBs. As well as picking up on aspects that have been successful, case studies can also highlight some of the challenges and barriers to introducing new approaches to anti-doping.

UKAD will continue to offer tailored support, guidance and training in a range of formats, including workshops and web-based resources. UKAD will continually re-assess resources, sharing the latest version and newly developed documents with NGBs as soon as they are available. Different NGBs will have different needs, but the range of support available to help implement the requirements means any interested organisation can access the support they require.



List of Assurance Framework Requirements

Set out below is the full list of the requirements assessed by way of the Assurance Framework, with further detail provided in the following sections.

The requirements of the Assurance Framework are derived from the more detailed NGB responsibilities as contained within section 4 of the Policy. They set out what UKAD expects to establish in order to assure that an NGB has complied with the relevant Policy responsibilities (with each relevant Policy responsibility signposted alongside the requirement). Whilst all care has been taken to ensure that there is consistency between what is required by the Assurance Framework and the relevant responsibilities set out in the Policy, it is (for the avoidance of doubt) the Policy responsibilities that NGBs are ultimately required to meet.

If the fulfilment of the requirements below (or any NGB Policy responsibility) conflicts with any requirements that an NGB must meet for another organisation, such as its International Federation, UKAD should be contacted for further guidance.



Requirements

Organisation and Governance

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 **Page 15**

Policy 4.1.2

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 **Page 16**

Policy 4.1.3

3. To ensure that anti-doping is discussed as part of a Board meeting agenda at least once per year

Page 18

Policy 4.1.3

4. To annually publish an overview of anti-doping activities carried out by the NGB over the previous year **Page 19**

Policy 4.4.5c

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

Page 20

Policy 4.1.4

6. To confirm the NGB's jurisdictional links to its International Federation and/or other NGBs and/or other member bodies **Page 20**

Policy 4.3.1

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 **Page 21**

Policy 4.3.1

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) **Page 22**

Policy 4.11.5

Legal

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 **Page 24**

Policy 4.3

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 **Page 25**

Policy 4.3

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 **Page 26**

Policy 4.4.7

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 **Page 27**

Policy 4.4.10

13. To have a mechanism in place through which an Athlete can confirm their retirement from competition **Page 28**

Policy 4.4.12

Education

14. To create a Clean Sport Education Strategy approved by UKAD and the NGB Board **Page 30**

Policy 4.1.1, 4.4.4

15. To annually create, implement and report progress against a Clean Sport Implementation Plan approved by UKAD, working towards the objectives of the Strategy **Page 31**

Policy 4.1.1, 4.4.4

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 **Page 32**

Policy 4.4.6

Communications

17. To evidence that:

- 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
- 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 **Page 35**

Policy 4.4.5d, 4.5.1

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) **Page 37**

Policy 4.4.5b

19. To provide the following information on the NGB website:

- Anti-doping rules/relevant provisions
- Link to UKAD and International Federation website
- A list, or a link to a list, of the current Anti-Doping Rule Violations under the Code
- Link to Prohibited List

e) Explanation of Strict Liability principle

f) Medication advice (link to Global DRO)

g) Supplement advice (link to Informed Sport)

h) Testing process

i) How an Athlete can apply for a TUE and whether to apply in advance (link to UKAD and International Federation website)

j) How an individual can report possible doping **Page 38**

Policy 4.4.5a

Intelligence and Investigations

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

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 **Page 41**

Policy 4.10.1, 4.10.2

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 **Page 42**

Policy 4.11.1

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 **Page 43**

Policy 4.11.3

Testing

23. To provide support to UKAD's Testing programme (where requested), including providing UKAD with:

a) a calendar of Events

b) an approximate number of Athletes and Athlete Support Personnel at each level in the NGB's performance pathway

c) assistance in gaining access to sports venues (including training facilities) to enable UKAD to conduct no advance notice Testing

d) relevant information such as selected teams, Athletes' home addresses, training camp details and participants, Competition selection decisions and Competition travel plans

e) assistance in the implementation of its National Registered Testing Pool and Domestic Testing Pool

Team Sports only:

f) up-to-date player lists for relevant teams/clubs

g) team whereabouts (via the relevant team/club), with mechanisms in place to impose consequences on teams if information is not provided or inaccurate

Individual Sports only:

h) entry lists, start lists and Competition timetables for relevant Events **Page 46**

Policy 4.4.3, 4.6.1, 4.6.2

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 **Page 48**

Policy 4.6.7

Detail of Assurance Framework Requirements Organisation and Governance

With governance models and NGB structures varying across sport in the UK, the interrelationships between entities within these structures are important for UKAD to understand, especially when monitoring compliance with the Policy or Clean Games Policy.

There is a collective responsibility within NGBs to work towards clean sport, but there are some specific roles that need to focus more specifically on driving anti-doping forwards, from both operational and strategic perspectives.

For anti-doping measures to be effective and a clean sport culture to be developed, all staff at an NGB need to buy into a vision for clean sport, starting at the top of the organisation and its governance of anti-doping.

It is UKAD's belief that NGB Boards and senior management play a vital role in anti-doping, leading the organisation's strategic approach to this area and setting an example for the rest of the organisation to follow. To enable this, Boards and senior management need to have the appropriate level of anti-doping knowledge and understanding to check and challenge the organisation's anti-doping processes. This includes oversight of its anti-doping strategy and the measures it is taking to mitigate the risk of doping within the sport.

Organisation and Governance Requirements

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

Purpose

Whilst responsibility and accountability for anti-doping may sit across multiple roles within an NGB, the purpose of having a trained Anti-Doping Lead (ADL) is to ensure there is an individual who drives anti-doping forward at the organisation and is the main anti-doping point of contact in an operational capacity. The ADL is the person appointed to focus on anti-doping at the NGB, ensuring the organisation is managing the risk of doping by the sport's participants.

An NGB having an ADL will help with internal communications and also give a clear point of contact for UKAD and the dissemination of any anti-doping information or updates, so the ADL can direct the information or query to relevant colleagues and/or participants within the sport.

The completion of online training will ensure the ADL has at least a basic level of understanding and knowledge of anti-doping, including how UKAD and the NGB can work together and the key role that the ADL can play in keeping the sport clean.

Guidance

The mandatory training that the ADL will need to complete is an eLearning course made available by UKAD. This programme has been designed specifically for the Education, support and guidance of ADLs at NGBs in the UK, whether the individual is new to anti-doping or already has experience of it.

The 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.

It is also recommended that a working relationship is created between ADLs from UK and Home Nation NGBs within a sport, in order to share experiences such as sport-specific challenges, the co-ordination of Education strategies and plans, and any measures that have proven to be particularly effective within the sport. This can be achieved either through ad-hoc correspondence, or where possible, through a working group that meets regularly to discuss the latest updates and collaborative work.

Resources provided by UKAD



- eLearning programme
- Education support workshops

Evidence to be provided to UKAD



- The identity and contact details of the designated individual
- A record of completion of the eLearning programme

If the NGB does not have any full or part-time staff members working at the organisation, then this role could be carried out by an individual on the NGB's Board, in combination with the Board Anti-Doping Lead role (see below).

Going Above and Beyond

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, should the NGB wish them to develop their anti-doping knowledge.

Face to face (via webinar and/or classroom based) support will be available for anti-doping leads and individuals nominated by the NGB who also work on the development, implementation and review of the NGB Clean Sport Education Strategy and Implementation Plan. The support includes a series of three workshops which cover:

1. Strategy development and implementation
2. Monitoring and evaluation
3. Development of a clean sport Education workforce

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

Purpose

Whilst responsibility and accountability for anti-doping may be for the whole Board, the purpose of having a trained anti-doping lead is to ensure there is an individual who drives anti-doping matters forward and is the main anti-doping point of contact at Board level.

The Board Anti-Doping Lead (Board ADL) should provide effective leadership to ensure the organisation is managing the risk of doping by the sport's participants. As the Board leads by example and sets out and maintains ethical standards, it is important that a member of the Board has the appropriate knowledge in anti-doping to support (and challenge where necessary) the executive staff member(s) responsible for anti-doping. Having the Board ADL complete mandatory training will give the individual an insight into why their organisation should be taking anti-doping seriously and ensure it is on the agenda at the most senior level of the NGB.

Resources provided by UKAD



- eLearning programme
- Education support workshops

Evidence to be provided to UKAD



- The identity and contact details of the designated individual
- A record of completion of the eLearning programme

Guidance

The mandatory training that the Board ADL will need to complete is an eLearning course made available by UKAD. This programme has been designed specifically for the Education, support and guidance of Board ADLs at NGBs in the UK. This course has been created for all Board ADLs, whether the individual is new to anti-doping or already has experience of it.

This role does not need to be specifically recruited for, an NGB can utilise the skills and experience of existing Board members and pick the most appropriate person. The chosen Board member is not solely responsible for anti-doping, as the whole Board is ultimately responsible for it. This person should have a non-executive position on the Board and if an NGB does not have a Board, this role should be performed by a senior official of equivalent standing.

Where an NGB has multiple Boards and/or Committees, it is recommended that this individual sits on the main NGB Board. However, this is at the discretion of the NGB, as to get the most out of this role it may fit better within a sub-committee or sub-Board tackling the strategic direction for a specific area of the NGB's operations.

The 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.

It is also recommended that a working relationship is created between Board ADLs from UK and Home Nation NGBs within a sport, in order to share experiences such as sport-specific challenges and best practice steps that a Board can take to mitigate the risk of doping within the sport.

Going Above and Beyond

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, should the NGB want more than just the Board ADL to complete it.

To build on this content, UKAD also delivers NGB Board Training Workshops. These workshops explore the Board's role in protecting clean sport and provide an opportunity to discuss how a Board can apply its influence to embed a culture of clean sport.

Additionally, if the Board would like to further develop knowledge about the planning and implementation of the NGB Clean Sport Education Strategy, an individual is welcome to join the Strategy and Implementation Plan Workshop with the ADL (or equivalent staff member).

Resource permitting, the UKAD Board also welcomes any request for Board to Board engagement with an NGB, should this be deemed beneficial to the NGB's anti-doping practices.

3. To ensure that anti-doping is discussed as part of a Board meeting agenda at least once per year

Purpose

UKAD looks to NGB Boards to demonstrate clear leadership in anti-doping and ensure that clean sport practices are embedded within the sport.

Although anti-doping may be raised as a standing item at Board meetings, it is often only discussed following a doping incident. Given this, UKAD's view is that it is important for each NGB Board to regularly have a proactive conversation about anti-doping so that Board members are kept apprised of the NGB's anti-doping activities and can review their effectiveness.

Guidance

To aid the Board's discussion on anti-doping, it is suggested that a report could be used to facilitate the conversation. This report could cover (as applicable and where known to the NGB):

- Progress against the NGB's Clean Sport Education Strategy and Plan, including the impact of the Education and information
- Compliance
- Budget
- New doping trends or practices within the sport or other relevant sports
- Testing
- Whereabouts Pools/Failures
- Intelligence shared with UKAD or received from UKAD and how the NGB has dealt with it
- Results/case management

Where an NGB has multiple Boards and/or Committees, it is recommended that this discussion takes place as part of a main Board meeting. However, this is at the discretion of the NGB, as to get the most out of this discussion, it may fit better within a sub-committee or sub-Board tackling the strategic direction

Resources provided by UKAD



- Suggested subjects for Board discussion

Evidence to be provided to UKAD



- Confirmation of the time and date of the discussion and a relevant report and/or minutes if requested

for a specific area of the NGB's operations. If this is the case, the NGB must ensure that the main Board is made aware of the content of the discussion held within the sub-committee or sub-Board.

If applicable, there may also be the need for collaboration between UK and Home Nation NGBs from a sport. Information discussed at the UK NGB's Board may need to be brought for discussion at a Home Nation NGB's Board or vice versa.

Going Above and Beyond

An NGB can also consider adding anti-doping onto its risk register, which can then be referred to within the annual discussion, increasing visibility at Board level and ensuring that anti-doping is discussed alongside other risks to the organisation.

4. To annually publish an overview of anti-doping activities carried out by the NGB over the previous year

Purpose

As a key activity of an NGB, it is UKAD's view that anti-doping activities should be publicly reported in line with other key areas such as safeguarding.

Lots of positive work is undertaken within anti-doping, but the success is often not promoted. By publishing a summary of anti-doping activity annually, an NGB will have the opportunity to promote the work the NGB has done, aiding transparency and reinforcing its commitment to keeping its sport clean.

Guidance

The overview of activities can be included as part of the NGB's overall Annual Report or published separately (either in a separate report or through a web article). It is at an NGB's discretion as to what information is published, and how, but areas recommended for inclusion are:

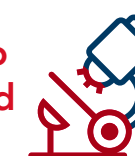
- Education – a summary of the Athletes and Athlete Support Personnel educated and its effectiveness (including progress against the Clean Sport Education Strategy)
- Communications – a summary of the key messages and information disseminated to participants within the sport

Resources provided by UKAD



- Suggested subjects for anti-doping annual report or summary of activities

Evidence to be provided to UKAD



- A digital copy of the annual summary with confirmation of where the document is published, or a link to a webpage hosting the information

- The completion of any anti-doping projects

If applicable to the NGB, other potential areas for inclusion are:

- Testing
- Results/case management

When creating the summary of activities, it may be beneficial for UK and Home Nation NGBs within a sport to collaborate. This will ensure a co-ordinated approach is taken and all parties are aware of the information being made public.

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

Purpose

To enable UKAD to effectively communicate with NGBs and disseminate important updates and information, each NGB is required to provide a point of contact for key areas of anti-doping.

This will allow bespoke communications to be sent to the NGB wherever necessary and facilitate the progress of any anti-doping issues.

Guidance

The point of contact for some or all of these areas can be the same individual at an NGB (and can be the ADL). However, an NGB should consider whether it is more appropriate for different individuals to be the point of contact for each area, depending on their knowledge and the role they carry out within the organisation.

6. To confirm the NGB's jurisdictional links to its International Federation and/or other NGBs and/or other member bodies

Purpose

An NGB's anti-doping compliance responsibilities may vary depending on the jurisdictional links it has to other organisations. Understanding these links also aids the tracking of an Athlete's progress through the sport, and where jurisdiction and responsibility for an Athlete changes over the course of their career.

Resources provided by UKAD



- UKAD contact list

Evidence to be provided to UKAD



- Contacts details for relevant individuals

Evidence to be provided to UKAD



- Free text to explain the links with other bodies (if any) and any other relevant document requested

Understanding the link between an NGB and its International Federation enables UKAD to establish whether the NGB falls under the governance of an International Federation that is a signatory to the Code.

Guidance

The NGB will need to confirm the jurisdictional links with any NGB (or other members bodies) which they have jurisdiction over, as well as any that have jurisdiction over them.

As the governance link between NGBs and International Federations varies, an NGB must confirm if they are a member of an International Federation.

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

Purpose

It is important to understand how an individual becomes a member of an NGB, obtains a licence or other permission to compete in an Event under the NGB's jurisdiction, or otherwise comes under the NGB's jurisdiction. This dictates how participants within the sport are bound by the NGB's anti-doping rules.

Guidance

To meet this requirement, an NGB is required to confirm the type of membership or licence structure applicable to Athletes, Athlete Support Personnel and other Persons, or otherwise explain how individuals come under its jurisdiction.

This includes details in respect of the organisations that participants are members of or licensed to, whether that is the NGB itself, or, for example, a club or a region. It must also include any crossover or links to the licence or membership issued by another organisation, such as a UK or Home Nation NGB within the same sport.

This requirement may not apply to a small number of NGBs, for whom there is no membership or licence structure, and Athletes and Athlete Support Personnel are linked to the anti-doping rules of other organisations.

Evidence to be provided to UKAD



- Free text to explain the membership and/or licence structure and how the NGB has jurisdiction over all Athletes, Athlete Support Personnel and other Persons

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)

Purpose

Such agreements are not a legal requirement for data to be shared, and they do not in themselves oblige the parties to share information. They are put in place to provide the detail of how data will be shared, setting out the responsibilities of both UKAD and the NGB.

Guidance

Should UKAD wish to put in place an information sharing agreement with an NGB (for example, with an NGB with which it regularly shares confidential information), UKAD will make contact with that NGB as and when required. An NGB that wishes to put in place an information sharing agreement with UKAD can simply obtain a template from UKAD, complete the relevant sections and return to UKAD for sign-off.

Resources provided by UKAD



- Information sharing agreement template

Evidence to be provided to UKAD



- Information sharing agreement submitted to UKAD

Legal

UKAD is responsible for ensuring the requirements of the Code are implemented at a national level. One of the ways that it achieves this is by providing anti-doping rules for the UK, fully aligned with the latest version of the Code and International Standards, referred to as the UK Anti-Doping Rules.

UKAD requires each sport to ensure that its Athletes, Athlete Support Personnel and other relevant people are bound by the UK Anti-Doping Rules, or equivalent Policy and Code-compliant rules approved by UKAD.

NGBs can do this in the same way that they bind their participants to other applicable rules. Typically, this is through memberships, contracts, licences or Competition entry. UKAD can provide advice on this point as needed, as it is of course of fundamental importance that all NGBs ensure that the relevant people are effectively bound by their anti-doping rules, and so can be appropriately held to account for any breach of them.

Legal Requirements

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

Purpose

Effective anti-doping rules are the cornerstone of clean sport.

NGBs must have Policy and Code-compliant anti-doping rules in place so that its Athletes, Athlete Support Personnel and other Persons are made subject to appropriate penalties should they commit an Anti-Doping Rule Violation.

Guidance

As a minimum, the UK Anti-Doping Rules are updated each time a new version of the Code is released, which is typically every six years. However, occasionally new versions of the UK Anti-Doping Rules are published outside of that cycle, for example when WADA makes interim amendments to the Code or International Standards.

The simplest way for an NGB to ensure that it has anti-doping rules compliant with the Policy, Code and International Standards is to adopt the UK Anti-Doping Rules in full and without any amendments.

Alternatively an NGB may be permitted, in accordance with paragraph 4.3.4 of the Policy, to adopt a different set of anti-doping rules.

If the NGB adopts rules other than the UK Anti-Doping Rules, the NGB is then responsible for updating its anti-doping rules to ensure that they remain accurate and compliant with the Policy, Code and International Standards at all times. UK Anti-Doping is responsible for reviewing the NGB's anti-doping rules at the outset, and following any subsequent amendments, to ensure that they are compliant prior to them coming into effect. It is incumbent on NGBs to provide any rules for review to UKAD in good time so that any necessary review can be conducted effectively.

Resources provided by UKAD



- UK Anti-Doping Rules
- Guidance on how to adopt anti-doping rules

Evidence to be provided to UKAD



- Confirmation that the UK Anti-Doping Rules or other Policy and Code-compliant anti-doping rules have been adopted
- Evidence that the relevant rules have been adopted in accordance with any constitutional requirement of the NGB
- A document copy or a link to the host webpage showing the rules and their adoption

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

Purpose

An NGB must ensure that there is a mechanism in place through which the Athletes and Athlete Support Personnel participating in its sport, and any other relevant Persons under its jurisdiction, are bound by its anti-doping rules.

This ensures that any Athletes, Athlete Support Personnel, and other Persons who commit an Anti-Doping Rule Violation can be sanctioned appropriately.

Guidance

The ways in which an NGB binds Athletes, Athlete Support Personnel and other Persons to its anti-doping rules will vary between NGBs. An NGB can achieve this in the same way that it ensures those individuals are bound by its other rules. It is often done via the terms and conditions of a contract, licence, membership or entry form stating that the relevant anti-doping rules apply to an individual. The individual actively agrees to those terms and conditions typically by way of their signature or an electronic equivalent (such as a 'tick box' confirming agreement). Such an agreement can be with the NGB directly or via a third party, for example, an NGB-affiliated club. In this way individuals expressly bind themselves to anti-doping rules.

Where no such express agreement exists, individuals must be made aware of the application of the anti-doping rules to them in another way in order to ensure they are bound by them. It is therefore extremely important that NGBs take proactive steps to make all Athletes, Athlete Support Personnel and other relevant Persons aware that the anti-doping rules are binding on them, for example via information published on their website, through wider anti-doping information campaigns or via Education sessions.

Resources provided by UKAD



- Example wording to bind participants to the anti-doping rules

Evidence to be provided to UKAD



- Free text to evidence how Athletes, Athlete Support Personnel and other Persons are bound to the rules
- Evidence of the relevant documentation, including any published materials

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

(Please note additional responsibilities for NGBs that are acting as Delegated Third Parties of UKAD are set out at paragraph 4.4.7 of the Policy)

Purpose

Whilst the Code requires individuals to cooperate with anti-doping investigations, failure to do so does not constitute an Anti-Doping Rule Violation. Including specified provisions in any written agreements with relevant individuals is a straightforward and effective way to bind those individuals to the anti-doping rules and/or to an obligation to co-operate with anti-doping investigations and proceedings.

Action can then be taken if an individual either breaches the NGB's anti-doping rules or fails or refuses to cooperate with a Code-compliant anti-doping investigation or relevant proceedings. This helps to ensure that any doping allegations can be fully investigated, and cheats removed from the sport.

Guidance

Any relevant written agreements (for example funding agreements, team member agreements and employment contracts) with Athletes, Athlete Support Personnel and other relevant Persons (including as a minimum, NGB employees involved in any aspect of Doping Control) will need to include provisions confirming that the individual (1) agrees to be bound by the anti-doping rules, and (2) is required to cooperate with anti-doping investigations and proceedings. For NGBs that utilise the support of staff from a Sports Institute, these individuals are required to meet these obligations by their Sports Institute.

'Doping Control' is a defined term under the UK Anti-Doping Rules (and is included in the Key Terms section of this document), which includes all steps and processes from test distribution planning through to the ultimate disposition of any appeal and the enforcement of sanctions. Reference should be made to that definition, but it includes (among other things) test distribution planning, sample collection and handling,

Resources provided by UKAD



- Example wording for provision in written agreements

Evidence to be provided to UKAD



- At least one written agreement to act as an example of the wording used to achieve this
- Confirmation that relevant agreements include this provision

investigations, whereabouts, TUEs, laboratory analysis and case management.

'Employees' include all individuals who are employed by an NGB, whether full time, part time, or otherwise.

For completeness, the Policy also requires an NGB to use its best endeavours to procure that other relevant Persons under their authority (including employees not involved in any aspect of Doping Control) cooperate with anti-doping investigations and proceedings. In the context of employees, this should be a reasonable instruction that an employee is bound to comply with under the ordinary (express and/or implied) terms of their employment contract.

Going Above and Beyond

An NGB may wish to consider the inclusion of additional anti-doping responsibilities in any written agreements. For example, a written agreement could set out the steps that the individual needs to take to keep their anti-doping knowledge up to date, such as the completion of eLearning or attendance at face-to-face Education sessions.

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.

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

Purpose

The purpose of this requirement is to ensure that Athletes and Athlete Support Personnel under the NGB's jurisdiction can still be bound to the anti-doping rules after participating in an Event or Competition.

This enables UKAD or the relevant Results Management Authority to pursue any violation of the anti-doping rules which is committed after competing. This also ensures that Athletes are not intermittently bound by the anti-doping rules for short periods whilst repeatedly participating.

Resources provided by UKAD



- Example wording for provision in short-term licence, membership, or 'one-off' entry

Guidance

This requirement applies to any licence or membership under 12 months in duration, or any form of 'one-off' entry, which allows an Athlete or Athlete Support Person to participate in the sport under the NGB's jurisdiction.

This must be incorporated into the existing provisions which bind the Athlete or Athlete Support Person to the anti-doping rules for the Competition(s). Steps should also be taken to ensure this is clearly communicated to relevant Athletes and/or Athlete Support Personnel.

Evidence to be provided to UKAD



- Confirmation that this provision is included within any relevant documentation for short-term licences, memberships, or 'one-off' entries
- A copy of any relevant documentation

13. To have a mechanism in place through which an Athlete can confirm their retirement from competition

Purpose

The purpose of this responsibility is to ensure that Athletes no longer participating in sport have the ability to formally retire. Retirement ensures that they are no longer subject to anti-doping responsibilities, such as providing whereabouts or being required to provide a Sample for Testing.

Guidance

An NGB must have in place an auditable mechanism through which an Athlete can retire from competition. The method for achieving this is at the discretion of the NGB, for example, through instructions included within a relevant rulebook or other provision.

Details of the retirement status of individuals should then be recorded internally, and, except for those Athletes on the National Registered Testing Pool or Domestic Testing Pool (who must notify UKAD as well as the NGB of retirement), shared with UKAD upon request.

Resources provided by UKAD



- Guidance on Athlete retirement

Evidence to be provided to UKAD



- A copy of the relevant mechanism provision

Education

The Policy requires all NGBs to provide anti-doping Education in conjunction with UKAD. Active and regular Education ensures that Athletes and other stakeholders always have access to the latest information.

The primary purpose of Education is to instil a culture of clean sport and to seek to ensure that:

- There is a reduction in the number of inadvertent Anti-Doping Rule Violations, for example through taking contaminated supplements
- Athletes and others have the necessary knowledge and tools to inform their decisions

This is delivered through:

- Raising Awareness: Highlighting relevant topics and issues related to clean sport
- Information Provision: Making available accurate, up-to-date content related to clean sport
- Anti-Doping Education: Delivering training on anti-doping topics to build competencies in clean sport behaviours, giving Athletes the ability to make informed decisions
- Values Based Education: Delivering activities that emphasise the development of an individual's personal values and principles. This builds the learner's capacity to make decisions to behave ethically on a daily basis



Education Requirements

14. To create a Clean Sport Education Strategy approved by UKAD and the NGB Board

Purpose

A Clean Sport Education Strategy enables the NGB to effectively plan its Education of stakeholders, enabling the delivery of appropriate Education to different target groups so that it can have maximum impact.

As the makeup of the Athlete pathway varies across NGBs, the Clean Sport Education Strategy is a tool for the NGB to determine how and where clean sport Education is provided to Athletes, Athlete Support Personnel, and other Persons.

The NGB should review how to effectively deliver clean sport messages during the different stages of development in the careers of Athletes. It is the NGB's responsibility to ensure that Athletes have up-to-date information and are aware of their duties and rights in anti-doping related matters. An Athlete has the right to receive anti-doping Education and information, as set out in the Athletes' Anti-Doping Rights Act.

A Clean Sport Education Strategy will be sport-specific, allowing for programmes to be tailored to the resources available and adapted to best suit the target audiences.

Guidance

The strategy must include the target audience, content and format of the clean sport Education and information provided to Athletes, Athlete Support Personnel and other Persons within the NGB's jurisdiction. This will ensure that participants receive Education and information that is relevant to them.

The strategy must comply with the International Standard for Education, published by WADA, along with the standards set by UKAD. Where applicable, this includes adherence to the Clean Games Policy, which outlines the Education required for Athletes and Athlete Support Personnel prior to a Major Games.

During the development of the strategy, the NGB may need to engage with other organisations. On an international level, this includes the relevant International Federation in order to ensure that the strategy aligns with any responsibilities or policies set out by them. On a UK level, there may also be the need to link with other NGBs within the sport so that there is a consistent approach to Education between them. This will ensure

Resources provided by UKAD



- Education support workshops
- How to guide: NGB Clean Sport Education Strategy and Implementation Plan (standards and requirements)
- Education service menu of resources provided by UKAD

Evidence to be provided to UKAD



- A copy of the approved Clean Sport Education Strategy

that each NGB is aware of the individuals that need to fall within the remit of their strategy, so nobody is missed. A co-ordinated approach to the creation of strategies will also ensure that Athletes and Athlete Support Personnel receive the appropriate Education. As they move up or down levels within the sport, the responsibility for their Education changes from the Home Nation NGB to the UK NGB, or vice versa.

An NGB may also wish to consider linking the strategy and the delivery of Education to other areas of integrity, such as gambling or spot/match fixing, as the core messages around values can also be effective in tackling these areas.

Going Above and Beyond

The resources provided include mandatory standards that must be met for a strategy to be approved by UKAD. However, all NGBs are encouraged to go beyond these and create comprehensive Education programmes that deliver targeted and effective Education and information to a wider group of participants within the sport. There will be Education resources available from UKAD as part of its '100% me' programme to help NGBs deliver Education.

Whilst Education is the mandatory aspect of the Clean Sport Education Strategy, there may be other areas which the NGB wishes to include within the strategy, such as Testing and intelligence gathering. Whilst these functions are carried out by UKAD, there may be actions that the NGB plans to take to assist in these areas (for example steps to increase funding for contracted Testing, or measures to assist UKAD in the collection of additional intelligence from participants within the sport).

15. To annually create, implement and report progress against a Clean Sport Implementation Plan approved by UKAD, working towards the objectives of the Strategy

Purpose

The Clean Sport Education Strategy will lay out the goals and objectives for the NGB. The next step is to develop an annual plan working towards achieving the aims and objectives in the strategy.

The Implementation Plan will set out the work for the following year. It is unlikely the full strategy can be achieved in one year, so the plan can set out the activities which can build in subsequent years.

Guidance

The Implementation Plan must include a review and evaluation of the previous year's work, and a plan for activity in the forthcoming year.

Resources provided by UKAD



- Education support workshops
- How to guide: NGB Clean Sport Education Strategy and Implementation Plan (standards and requirements)

This includes the action required, who is responsible for the task and the resources needed.

The Implementation Plan is to be used as a live document that the NGB can regularly update.

Although the plan will cover a one-year period, the timeframes for when that year starts can be set by the NGB to best suit the Competition calendar of the sport.

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

Purpose

Over the course of an Athlete or Athlete Support Person's career, they are likely to receive a range of different anti-doping Education messages in a variety of different formats and settings. Other Persons should also from time to time receive anti-doping Education. Keeping accurate records of this Education enables:

- The tracking of an individual's Education over the course of their career, to ensure that the anti-doping messaging is developed over time and becomes more in-depth and detailed as the individual's base knowledge expands
- The planning of future sessions to ensure that the information delivered is targeted to remain useful and delivered in an engaging manner which retains the individual's attention
- An NGB to evaluate the Education that has been delivered, to measure its impact
- An NGB to check the level of Education received by an individual if disputed during the course of Anti-Doping Rule Violation proceedings

Evidence to be provided to UKAD



- A copy of the approved Implementation Plan, along with progress reports (where requested)

Resources provided by UKAD



- Register template for clean sport Education
- Monitoring of clean sport Education sessions template

Evidence to be provided to UKAD



- The ability to provide attendance records or other records (for example, digital learning) on request

Guidance

It is recommended that these records are kept electronically. Along with the names of those attending the session, information including who delivered the Education, what content they delivered and when it was delivered should also be accurately documented.

These records should be retained for 11 years (bearing in mind the limitation period to bring a case under the Code is 10 years) and made available to UKAD electronically on request. Examples of when this may be requested include during an investigation into a potential Anti-Doping Rule Violation to determine that individual's prior Education, or for the purpose of confirming the Education conducted by an NGB (for example prior to a Major Games).

Communications

Alongside the Education of Athletes and those around them, communication is an effective way of distributing important messages to a wide audience and raising awareness of anti-doping.

Whilst UKAD plays a central role in this through the creation of resources and templates, an NGB can help to disseminate messages to Athletes, Athlete Support Personnel, and others within their sport. As each sport is different, an NGB can tailor the content and format of any messaging in a way that is most likely to reach and influence participants within the sport.

A key aspect of this is highlighting the anti-doping rights and responsibilities of Athletes and Athlete Support Personnel, so that they are aware of the latest anti-doping information. This includes the rules that are applicable to them, any changes to the list of Prohibited Substances and Prohibited Methods (the 'Prohibited List'), and what steps they can take to mitigate the risk of inadvertent doping.

Whilst anti-doping communications often become a focus in the event of a doping case, it is vital that an NGB also promotes positive clean sport stories and celebrates clean Athletes within its sport. UKAD provides a platform to do this through the annual Clean Sport Week.

Communications Requirements

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

Purpose

Whilst the UKAD and NGB websites offer a valuable reference point for individuals to find out more about anti-doping, certain messages warrant targeted communications to the relevant individuals, particularly when that information regularly changes.

The Prohibited List is updated with effect from 1 January each year. It is therefore of utmost importance that Athletes and Athlete Support Personnel are made aware of any changes, so that they do not inadvertently fall foul of the rules when additions to the Prohibited List are made.

Athletes defined as being within the National TUE Pool by UKAD, or as an International-Level Athlete by their International Federation, are required to obtain a TUE prior to using (for therapeutic reasons) a Prohibited Substance or Prohibited Method. Athletes who fall outside of these identified groups can apply for a retroactive TUE after Doping Control, provided that the Athlete can provide clinical justification of their therapeutic need to use the Prohibited Substance or Prohibited Method.

The National TUE Pool for each sport is updated annually and published on the UKAD website. It is important that Athletes who are required to obtain a TUE in advance are aware of that responsibility, as failing to do so could lead to them inadvertently committing an Anti-Doping Rule Violation. This communication should occur on an annual basis (after UKAD notifies NGBs of the annual revisions) to ensure that all Athletes are made aware (or reminded) of their inclusion within the National TUE Pool and the potential consequences for failing to obtain a TUE in advance should the need arise.

Resources provided by UKAD



- Guidance on Prohibited List changes for Athletes and Athlete Support Personnel
- Example TUE messaging for Athletes

Evidence to be provided to UKAD



- Copies of written communications sent to Athletes and Athlete Support Personnel

Guidance

The method(s) of communication are at the discretion of the NGB. However, this must include some form of written communication (for example via email, SMS or WhatsApp) so the correspondence can be referenced by the individual and NGB at any point, and to ensure learning is reinforced outside of formal Education sessions.

Communication to the relevant Athletes and Athlete Support Personnel can be provided directly to the individual, or via the individual's club or representative (for example coach, medical staff, parent). If notification is via a third party, the NGB should take all appropriate steps to ensure that the message reaches its intended recipient.

In relation to the extent of the audience:

- a) Prohibited List communication applies to all Athletes and Athlete Support Personnel on the NGB's performance pathway. As this varies by sport, it is at the NGB's discretion to identify this group of individuals.
- b) National TUE Pool communication applies to those Athletes in the National TUE Pool (that is those that are required to obtain a TUE in advance).

Further information on this communication should be documented as part of the Clean Sport Education Strategy and Implementation Plan.

Going Above and Beyond

For the communication to Athletes who are in the National TUE Pool or are International-Level, it is recommended that medical staff supporting these groups of Athletes are also notified, so that all individuals involved in the TUE process are provided with the correct guidance.

In addition to these topics, the NGB should also consider whether direct communication with individuals is appropriate for the following:

- Changes to the NGB's anti-doping rules
- Changes to the global anti-doping framework, including the Code and International Standards
- Changes to Testing procedures and/or Sample collection equipment
- Guidance on the risks associated with dietary supplement use and the due diligence steps an Athlete should undertake prior to using any dietary supplement
- Specific warnings regarding the most common Prohibited Substances found as ingredients within dietary supplements
- The communication method(s) available to report possible doping

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)

Purpose

In addition to targeted communications on anti-doping, it is important that UKAD and NGBs both promote clean sport messages more generally to each sport's participants and the general public.

The majority of headlines relating to anti-doping are understandably not 'good news', however there is a lot of work that goes into keeping sport clean, including that of the NGB. Incorporating regular clean sport messaging in the NGB's communications plan shows the commitment to clean sport and helps maintain public confidence in competition.

Guidance

It is at the NGB's discretion as to how this is achieved, with the communication method and content adapted to suit the target audience.

UKAD creates a wide range of resources, messages and templates which can be shared by the NGB directly or tailored to meet their needs. Examples of pro-active communications include support for the annual Clean Sport Week, anti-doping reminders on social media, newsletter articles on recent NGB anti-doping activities or guidance on the use of supplements, medication and nutrition.

To account for the varied schedules of sports in the UK, an NGB has discretion to determine the timing of these throughout the year, based on when they believe the messages and information will be most influential and effective.

Resources provided by UKAD



- Clean sport week support from UKAD (NGB toolkit)
- Ad-hoc periodic reminders of anti-doping information for Athletes and Athlete Support Personnel
- Social media toolkit

Evidence to be provided to UKAD



- A copy of completed communications (for example emails, social media) or any other Clean Sport activity

19. To provide the following information on the NGB website:

- a) Anti-doping rules/relevant provisions
- b) Link to UKAD and International Federation website
- c) A list, or a link to a list, of the current Anti-Doping Rule Violations under the Code
- d) Link to Prohibited List
- e) Explanation of Strict Liability principle
- f) Medication advice (link to Global DRO)
- g) Supplement advice (link to Informed Sport)
- h) Testing process
- i) How an Athlete can apply for a TUE and whether to apply in advance (link to UKAD and International Federation website)
- j) How an individual can report possible doping

Resources provided by UKAD 

- Website template copy

Evidence to be provided to UKAD 

- Link(s) to the relevant webpage

Purpose

An NGB's website is often the first port of call for Athletes and others to find anti-doping information relating to the sport.

It is therefore very important that the NGB's website contains all of the relevant anti-doping messaging that will assist that individual, and that the information is up to date, as Athletes and Athlete Support Personnel rely on the information being accurate.

The information that must be incorporated includes how to check the prohibited status of medication, guidance on the use of supplements, where to apply for a Therapeutic Use Exemption certificate and how to report possible doping within the sport.

Guidance

UKAD provides a template web copy which can either be used in its current form, or tailored to the NGB's sport, provided that the key information is included on the website and that the information remains accurate.

Going Above and Beyond

Additional links that the NGB may wish to include on the webpage are:

- A link to the UK or Home Nation NGB's anti-doping page (if applicable)
- A link to UKAD's list of currently sanctioned Athletes and Athlete Support Personnel, so that an individual can check whether any participants from the sport are currently serving a period of Ineligibility
- A link to the WADA website
- A copy of their Clean Sport Education Strategy



Intelligence and Investigations

UKAD's use of intelligence and investigations is key in helping to tackle doping in sport. As well as supporting an intelligence-led Testing programme, intelligence and investigations can highlight instances of doping and lead to the prosecution of Anti-Doping Rule Violations that are non-analytical, that is those which do not follow from a urine or blood Sample being collected and testing positive. To do this, UKAD works closely with external stakeholders including law enforcement agencies, sporting bodies and the general public to increase its knowledge of doping-related activities.

In addition to seeking to prosecute Athletes and Athlete Support Personnel for an Anti-Doping Rule Violation, the Intelligence and Investigations team at UKAD uses a range of other disruption and intervention techniques. These alternative tactical options aim to prevent, deter, intervene and disrupt Athletes and Athlete Support Personnel from committing Anti-Doping Rule Violations. Where applicable, these options will be shared with an NGB alongside specific guidance on their implementation.

NGBs play a key role in this work, through sharing information with UKAD, maintaining accurate records of participation and having the ability to take disciplinary action against Athletes and Athlete Support Personnel for activities relating to doping.



Intelligence and Investigations Requirements

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

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

Purpose

It is not (currently) an Anti-Doping Rule Violation for an Athlete, Athlete Support Person, or other Person bound by Code-compliant anti-doping rules to fail or refuse to cooperate with an investigation into a potential Anti-Doping Rule Violation. In these situations, UKAD itself has no power to compel the Athlete, Athlete Support Person, or other Person to engage with the process and provide requested evidence, and so is reliant on NGBs to compel co-operation via its general disciplinary rules.

Similarly, UKAD does not have the ability to take action against Athletes, Athlete Support Personnel or other Persons if they commit an act of misconduct relating to anti-doping which does not amount to an Anti-Doping Rule Violation. Examples of this include the verbal or physical abuse of Doping Control Personnel at a test or a failure by Athlete Support Personnel to maintain adequate medical records.

If an individual fails or refuses to co-operate with an investigation conducted by UKAD or another signatory to the Code or commits an act of misconduct that does not amount to an Anti-Doping Rule Violation, UKAD will communicate this to the NGB. At this point, UKAD would ask the NGB to consider, in good faith, taking appropriate action under its disciplinary rules.

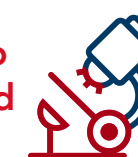
This process would be led by and be at the discretion of the NGB, following the standard process followed by the NGB relating to misconduct matters, with UKAD providing any necessary support to that process.

Resources provided by UKAD



- Example wording for provision in disciplinary rules or regulations

Evidence to be provided to UKAD



- Confirmation of the existence and copies of relevant rule(s) or regulation(s)

Guidance

These aims could be achieved through a generic or specific rule/regulation, and so may well be covered by misconduct rules that an NGB already has.

However, if its current rules would not allow an NGB to take disciplinary action in these circumstances, then a specific clause(s) should be added to the disciplinary rules, so that action can be taken.

Going Above and Beyond

UKAD frequently investigates non-analytical Anti-Doping Rule Violations where there is likely to be relevant evidence in an individual's communication devices (typically smart phones and laptops), bank or phone records.

It would greatly assist UKAD in such cases if an NGB's rules specifically required the provision of such items for the purposes of any legitimate investigation carried out by UKAD, and an NGB supported UKAD in the enforcement of such rules in any appropriate cases. UKAD can provide further advice and assistance on this area where required.

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

Purpose

As an intelligence-led organisation, UKAD relies heavily on the quantity and quality of intelligence that it receives voluntarily from external stakeholders. NGBs play a vital role in this to ensure that any potential Anti-Doping Rule Violations are thoroughly investigated, and any cheats removed from the sport.

Guidance

Any information relating in any way to a potential Anti-Doping Rule Violation must be immediately reported to UKAD via the communication channels provided.

If this information is provided by the NGB directly, UKAD's preference is that this is communicated directly to UKAD's Intelligence

Resources provided by UKAD



- Guidance on dealing with information and intelligence

Evidence to be provided to UKAD



- Written confirmation that relevant information will be passed to UKAD, along with confirmation of whether the NGB runs its own integrity/reporting service

& Investigations team for collation and analysis, allowing a two-way conversation. There are several other reporting channels available, including a confidential email, WhatsApp, hotline or online form.

Even if the information the NGB is party to may seem small and may not in itself constitute an Anti-Doping Rule Violation, it could be part of a bigger intelligence picture and provide a crucial missing link in an investigation into an Athlete or Athlete Support Person. It is therefore vital that any information is shared as soon as the NGB becomes aware of it, and prior to an NGB taking any action itself (unless such action is necessary to protect the safety of any person). After sharing, the NGB should take steps to secure, retain and deliver to UKAD, at the earliest opportunity, any material/data or evidence that may assist in an investigation leading to a potential Anti-Doping Rule Violation.

To facilitate the sharing of information with UKAD, the 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.

Going Above and Beyond

Alongside ensuring individuals are aware of the avenues to report doping, the NGB can take proactive steps to encourage members to report information. This can be done by promoting Protect Your Sport, a tool to speak to UKAD in confidence for individuals wanting to report any concerns. Methods of achieving this include publicising Protect Your Sport at training venues or during Competitions or including information in newsletters or any other digital communications that reach the wider membership of the NGB.

NGBs may also share information in relation to the misuse of any substance or method not for a therapeutic use, including the use of substances of abuse in an Out-of-Competition setting. An NGB should also notify UKAD of any emerging threats or trends of concern in respect of doping.

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

Purpose

As part of any investigation, UKAD needs to determine whether or not an individual is bound by an NGB's anti-doping rules, as that will determine whether further action can be taken against that individual in respect of a potential Anti-Doping Rule Violation.

Resources provided by UKAD



- Guidance on participation records

UKAD therefore relies on an NGB maintaining accurate records of participation within its sport, for it to determine whether it has anti-doping jurisdiction over an individual.

Guidance

Prior to an investigation, UKAD may contact the NGB to check if an individual participates in its sport as an Athlete or Athlete Support Person or is otherwise bound by its rules.

An NGB must check and report to UKAD in a timely manner, preferably within one working day, so that the appropriate action can then be taken against that individual.

As UKAD receives information from a range of sources, including law enforcement, the information that it has may vary from case to case. In the majority of cases, UKAD will know the name of the individual, but additional information to identify that individual - such as the individual's home address, email address or phone number - might be unknown.

An NGB should therefore have the ability to search its participation records via individual search criteria including the first line of an address, a postcode, email address or phone number.

If an NGB has an accurate method of tracking participation in place, no further action is required until UKAD makes contact to request a check of that information. This will be on an ad-hoc basis depending on the timing of intelligence received and the progress of investigations.

If the NGB's records of participation (for example membership records) sit with a third party, such as another NGB, a club or a regional entity, the NGB should put in place measures to ensure that the relevant information is accessible if required.

These records should be retained for 10 years, the limitation period to bring a case under the Code.

Going Above and Beyond

To help to ensure that its sport is free of cheats, we encourage an NGB to contact UKAD about the feasibility of UKAD gaining access to all of its participation records, either directly or through the sharing of records. This would enable UKAD to check whether an individual identified by intelligence is a participant of the NGB's sport, without needing to take up the NGB's time.

Evidence to be provided to UKAD



- Free text to confirm the existence of appropriate records and to describe how participation records are stored and the process for information to be passed to UKAD on request

Testing

Athletes can be tested anytime and anywhere. This can be In-Competition, that is at Competitions or matches, or Out-of-Competition, such as at training venues or an Athlete's home.

UKAD coordinates the UK's intelligence-led risk-based Testing programme in accordance with the International Standard for Testing and Investigations. This programme should be seen as both a method of detection (catching those who cheat) and deterrence (warning Athletes off cheating).

The core principles of this Testing programme are:

- Risk based – the Test Distribution Plan is focused on the greatest doping risks to sport
- Intelligence-led – UKAD uses the intelligence it receives and generates to help ensure it is a targeted programme
- Independent – UKAD operates the programme independently and with full autonomy, although it welcomes support and expertise from NGBs to add value to the programme
- No advance notice – all Testing carried out is without the Athlete, or any associated personnel, knowing it will be taking place

NGBs play an integral role in supporting this programme by providing UKAD with information on Athletes, teams, venues and Events within their sport. This enables UKAD to conduct an effective Testing programme, protecting the reputation of clean Athletes and the integrity of their sport.

Testing Requirements

23. To provide support to UKAD's Testing programme (where requested), including providing UKAD with:

a) a calendar of Events

b) an approximate number of Athletes and Athlete Support Personnel at each level of the NGB's performance pathway

c) assistance in gaining access to sports venues (including training facilities) to enable UKAD to conduct no advance notice Testing

d) relevant information such as selected teams, Athletes' home addresses, training camp details and participants, Competition selection decisions and Competition travel plans

e) assistance in the implementation of its National Registered Testing Pool and Domestic Testing Pool

Team Sports only:

f) up-to-date player lists for relevant teams/clubs

g) team whereabouts (via the relevant team/club), with mechanisms in place to impose consequences on teams if information is not provided or inaccurate

Individual Sports only:

h) entry lists, start lists and Competition timetables for relevant Events

Resources provided by UKAD



- Annual Testing survey questions
- Training and Competition calendar (part of annual survey)
- Guidance for venue access to support the Doping Control process
- Team manager ADAMS guide for team whereabouts
- NGB and ASP support guide to Athletes on a whereabouts pool

Evidence to be provided to UKAD



- Completion of the annual UKAD Testing survey (where requested)
- Any other relevant and appropriate information (where requested)

Purpose

The purpose of these is to provide information, particularly when it is not publicly available, to assist UKAD with:

- The creation of the annual Test Distribution Plan, including planned In-Competition and Out-of-Competition tests
- Locating Athletes and teams, and gaining access to venues for planned tests within the NGB's sport
- Supporting Athletes in meeting their whereabouts responsibilities as part of the National Registered Testing Pool or Domestic Testing Pool

Guidance

To minimise the resource impact on NGBs and ensure that all information captured is relevant, this information need only be provided when UKAD specifically requests it.

UKAD will request this information at the appropriate time in the year. For information that feeds into the annual Test Distribution Plan, this is likely to be in autumn. 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.

Appropriate consequences relating to team whereabouts can be through existing rules and regulations imposed onto clubs/teams. It is at the NGB's discretion to determine the relevant consequences that are put in place if a club or team does not submit or provides inaccurate whereabouts information.

Going Above and Beyond

An NGB can invest financially in the Testing programme to supplement the Testing UKAD undertakes and enhance the levels of Testing conducted within the sport, whilst independence of the programme is still maintained.

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

Purpose

Although the number and performance level of Athletes under the age of 18 varies significantly across sports, the NGB must have the relevant consent in place to enable UKAD to carry out Testing of those Athletes where necessary.

Given their age, communication of anti-doping related messaging to these Athletes and those around them is vitally important; including what the Athlete can expect if they are tested, their rights and responsibilities, and the modifications to the Doping Control process that are applicable.

Guidance

If the NGB adopts the UK Anti-Doping Rules, consent is automatically inferred from the fact that the Minor has been permitted by their parent, carer or other relevant responsible adult to participate in the sport (see article 5.7 of the UK Anti-Doping Rules).

For those NGBs that adopt the UK Anti-Doping Rules, steps must be taken to ensure that the fact of this inferred consent is communicated to the relevant Athletes and their parents, carers or other relevant responsible adults. This communication can be in a form deemed most appropriate to the NGB, with communication channels including Education sessions, membership or Competition rules/regulations or email communications. This communication should be included as part of the targeted plans within the Clean Sport Education Strategy and should include details of the Doping Control process that the Athlete would undertake.

Whilst the audience is at the NGB's discretion, this communication should be focused on those Athletes competing at the top end of the sport that are most likely to be tested by UKAD or the relevant International Federation.

If the NGB does not adopt the UK Anti-Doping Rules, consent should be put in place, either through a specific clause in the anti-doping rules, or other method as discussed with UKAD. This consent should then be appropriately communicated to the relevant individuals, alongside information on the Doping Control process.

Resources provided by UKAD

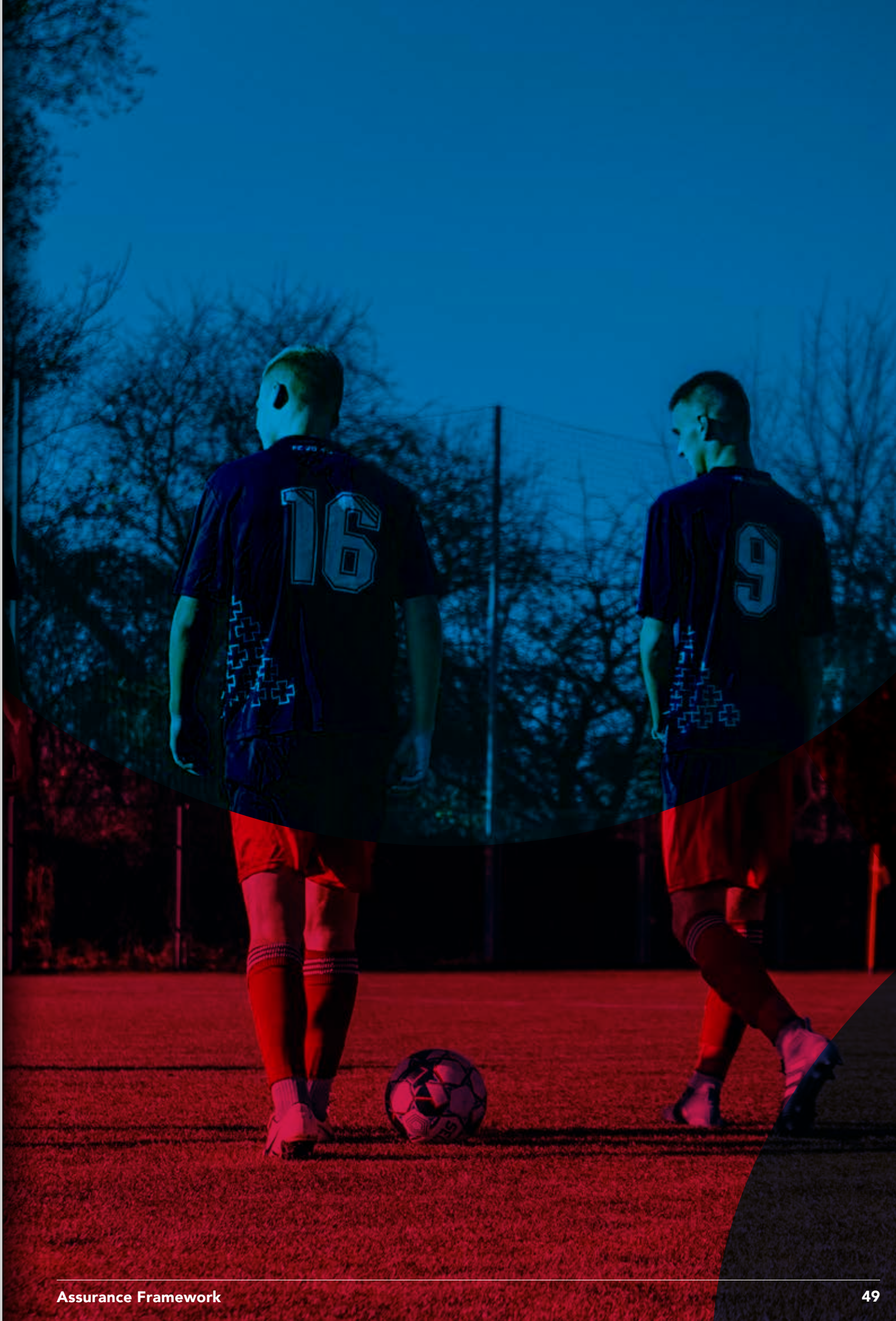


- Suggested wording for provision on Testing of Minors in anti-doping rules (not needed for an NGB that adopts the UK Anti-Doping Rules)
- Parents and carers leaflet
- Example wording for communicating deemed (or inferred) consent

Evidence to be provided to UKAD



- Free text to explain the processes for obtaining consent for the Testing of Minors and communicating this, along with any specific Testing procedures, as appropriate



Key Terms

Anti-Doping Rule Violation - One of the prohibited acts or omissions set out at Article 2 of the World Anti-Doping Code.

Athlete - Any Person (including any Recreational Athlete) who competes at any level in the sport under the jurisdiction of the NGB.

Athlete Support Person - Any coach, trainer, manager, agent, team staff, official, nutritionist, medical, paramedical personnel, parent or any other Person working with, treating or assisting an Athlete participating in or preparing for sports Competition.

Athletes' Anti-Doping Rights Act - The Act is a single document to ensure that the rights of all Athletes worldwide to participate in doping-free sport are clearly set out, accessible, and universally applicable.

Domestic Testing Pool - A pool of Athletes who are not in the National Registered Testing Pool but are required to provide specified whereabouts information to UKAD so that they can be located for purposes of Testing, as established by UKAD.

Doping Control - All steps and processes from test distribution planning through to ultimate disposition of any appeal and the enforcement of Consequences, including all steps and processes in between, including (but not limited to) Testing, investigations, whereabouts, TUEs, Sample collection and handling, laboratory analysis, Results Management, and investigations or proceedings relating to violations of Code Article 10.14 (Status During Ineligibility or Provisional Suspension).

Doping Control Personnel - Individuals serving as independent contractors who perform Doping Control services for UKAD (e.g., non-employee Doping Control officers or chaperones).

In-Competition - The period commencing at 11:59 p.m. on the day 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 Competition.

International Standard - A standard adopted by WADA in support of the Code (including any Technical Documents issued pursuant to such standard).

Minor - A natural Person under the age of 18.

National Registered Testing Pool - A pool of Athletes who are required to provide whereabouts information and to make themselves available for Testing at such whereabouts in accordance with International Standard for Testing and Investigations Article 4.8, as established by UKAD.

National TUE Pool - A pool of Athletes not in the National Registered Testing Pool who are required to obtain a TUE prior to Use or Possession or Administration of the Prohibited Substance or Prohibited Method in question, as established by UKAD.

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

Person - A natural person or an organisation or other entity.

Prohibited List - The Prohibited List International Standard issued by WADA, identifying the Prohibited Substances and Prohibited Methods, as amended from time to time.

Results Management Authority - The Anti-Doping Organisation responsible for conducting Results Management in a given case.

Sample Collection Agency - The organisation that is responsible for the collection of Samples in compliance with the requirements of the International Standard for Testing and Investigations.

Test Distribution Plan - A document written by an Anti-Doping Organisation that plans Testing on Athletes over whom it has Testing Authority, in accordance with the requirements of Article 4 of the International Standard for Testing and Investigations.

Therapeutic Use Exemption - A Therapeutic Use Exemption allows an Athlete with a medical condition to use a Prohibited Substance or Prohibited Method, but only if the conditions set out in the International Standard for Therapeutic Use Exemptions are met.

UK Anti-Doping Rules - A set of anti-doping rules that are intended to implement the requirements of the World Anti-Doping Code on a national basis within the UK. <https://www.ukad.org.uk/about/anti-doping-rules>

UK National Anti-Doping Policy - The document of that name issued by or on behalf of the UK Government, compliance with which is a condition of eligibility for public funding in the United Kingdom. <https://www.ukad.org.uk/about>

World Anti-Doping Code - The World Anti-Doping Code is the core document that harmonises anti-doping policies, rules and regulations within sport organisations and among public authorities around the world. <https://www.wada-ama.org/en/what-we-do/the-code>

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Protecting Sport

