



COMPLIANCE ANNUAL REPORT

2020

March 2021

Acronyms used in 2020 Compliance Annual Report

ADAMS	Anti-Doping Administration and Management System
ADEL	Anti-Doping Education and Learning (rebrand of ADeL for 2021)
CAR	Corrective Action Report
CAS	Court of Arbitration for Sport
CCC	Code Compliance Center
CCQ	Code Compliance Questionnaire
CIS	Compliance Investigation Section
CISP	Code Implementation Support Program
CRC	Compliance Review Committee
DCF	Doping Control Form
IF	International Federation
ISCCS	International Standard for Code Compliance by Signatories
ITA	International Testing Agency
KPI	Key Performance Indicator
MEO	Major Event Organization
MLA	Minimum Level of Analysis
NADO	National Anti-Doping Organization
RADO	Regional Anti-Doping Organization
RTP	Registered Testing Pool
STEG	Strategic Testing Expert Group
TDP	Test Distribution Plan
TDSSA	Technical Document for Sport Specific Analysis
TUE	Therapeutic Use Exemption
WADA	World Anti-Doping Agency
WHO	World Health Organization

Contents

1. Executive Summary.....	4
2. Introduction.....	6
2.1 Purpose of the Annual Report.....	6
2.2 International Standard for Code Compliance by Signatories (ISCCS).....	6
2.3 Novel Coronavirus (COVID-19) Pandemic.....	7
2.4 Key WADA Announcements and Achievements in 2020 Impacting Compliance.....	8
3. Achievement of 2020 Compliance Objectives.....	9
3.1 Summary	13
4. Performance Against Key Performance Indicators (KPIs)	14
5. Compliance Monitoring Program	15
5.1 Continuous Monitoring Program	16
5.2 Code Compliance Questionnaire (CCQ)	19
5.3 Signatory Audit Program	19
5.4 Compliance Monitoring Program Conclusions.....	22
5.5 Opportunities to Improve	24
6. Anti-Doping Rules.....	24
7. Code Compliance (Enforcement) Procedures.....	26
8. Risk Management.....	29
9. Special Issues.....	31
10. Integrated Assessment of Findings and Areas of Special Focus	33
10.1 WADA Internal Structures, Processes and Compliance Monitoring	33
10.2 Monitoring Signatory Compliance	33
11. Implications for WADA’s Compliance Monitoring Program in 2021.....	34

1. Executive Summary

The 2020 WADA Compliance Annual Report is the second edition of this report and is published in line with WADA's [Compliance Strategy](#) launched in 2020. The Compliance Strategy was developed by WADA's internal Compliance Taskforce with the guidance of WADA's independent [Compliance Review Committee](#) (CRC) and endorsed by WADA's [Executive Committee](#) in 2019.

WADA Internal Structures, Processes and Compliance Monitoring

- The Court of Arbitration for Sport (CAS) announced its [decision](#) on the Russian case on 17 December 2020, upholding the decision made by WADA's Executive Committee to declare the Russian Anti-Doping Agency (RUSADA) non-compliant. This decision supports the efficacy of the legal framework and principles of the [International Standard for Code Compliance by Signatories \(ISCCS\)](#). This was the first WADA Code compliance case before CAS since the Standard came into force in April 2018.
- In 2020, WADA launched its [Strategic Plan](#) for **2020-2024**, which includes its organizational vision and objectives, including compliance. Alongside this, WADA initiated an internal organizational review to ensure WADA is structured to manage and operationalize the objectives of the Strategic Plan in an optimal way.
- WADA identified **13** objectives from the 2019 Compliance Report in its 2020 Compliance Annual Plan. A number of those objectives that were not achieved primarily due to the impact of the coronavirus (COVID-19) pandemic will form part of the 2021 Compliance Annual Plan.
- WADA created a new three-person [Compliance Investigation Section](#) (CIS) within its Intelligence and Investigations (I&I) department to complement the compliance monitoring program with dedicated compliance-related investigation capabilities.
- The outcomes of an independent investigation initiated by the International Weightlifting Federation (IWF) into their historical management of doping cases was published, and support was provided by WADA in completing the results management and investigations required as a result. WADA's own investigation on the IWF is ongoing.

Monitoring Signatory Compliance

- Throughout 2020, WADA adjusted its compliance monitoring program as a result of the novel coronavirus (COVID-19) pandemic, including the freezing of deadlines for Signatories that were in a compliance enforcement procedure, and not issuing Corrective Action Reports (CARs) with deadlines.
- The COVID-19 pandemic had a significant impact on both Signatories' anti-doping programs and WADA's compliance activities. WADA's compliance monitoring activities were reduced to **64%** of the original plan, and Signatories were provided with greater flexibility in meeting their compliance obligations.
- WADA conducted **eight** audits from its original plan of **25**. **One** in-person audit was conducted and **two** desk audits were started before the pandemic. Due to the travel and public health restrictions in place, WADA introduced a virtual audit program, of which, **five** were conducted.

- Signatories audited in 2019 continued to implement their corrective actions in 2020. At the end of 2020 however, **five** Signatories had not yet implemented their Corrective Action Report (CAR). **75%** of corrective actions raised in 2019 audit CARs (293 of 390) had been implemented.
- WADA recertified its team of **30** auditors. **18** auditors are WADA staff and **12** are external experts.
- WADA completed its second full year of its continuous monitoring program. **61** Signatories were assessed, resulting in the identification of **48** non-conformities, with **12** Signatories receiving a CAR.
- Although no new Signatories entered a compliance enforcement procedure due to the freezing of deadlines during the pandemic, **three** Signatories who have not fully completed their CAR remained in the compliance procedure through 2020 and into 2021.
- Throughout 2020, WADA supported Signatories in drafting and adopting anti-doping rules. Between 1 January 2020 and 31 December 2020, WADA reviewed **896** sets of rules for **326** Signatories. Some Signatories provided over 10 drafts until their rules were deemed in line with the World Anti-Doping Code (Code). **93** Signatories that did not have 2021 anti-doping rules in line with the Code or formally adopted received a CAR in January 2021.

Key findings of Signatory compliance monitoring in 2020

- Results management was the program area that had the most non-conformities across WADA's compliance monitoring programs, followed by non-conformities relating to testing.
- National Anti-Doping Organizations (NADOs) have proportionally generated more non-conformities than International Federations (IFs), often as a result of more complex anti-doping programs, and remained in compliance procedures for longer than IFs.
- IFs have benefited from extra support and expertise from other organizations (e.g., International Testing Agency (ITA), Canadian NADO, private sample collection agencies) in meeting their compliance obligations.
- Deadlines and compliance enforcement procedures seem to be effective in maintaining Signatory compliance. The freezing of deadlines and the impact of the pandemic on countries resulted in NADOs, in particular, taking more time to implement corrective actions and therefore remaining in a compliance procedure for longer.

2. Introduction

2.1 Purpose of the Annual Report

The 2020 Compliance Annual Report is the second edition of the report and marks the first complete cycle of an annual Compliance Report and Plan in implementing WADA's [Compliance Strategy](#) (see chart below).



The broad term “compliance” with the Code refers to how a Signatory can develop and maintain its anti-doping rules and program implementation in line with the Code, International Standards and related Technical Documents. A Signatory is either an IF, a NADO or a Major Event Organization (MEO).

The purpose of the Compliance Annual Report is to:

- Enhance transparency and trust in WADA's compliance monitoring activities.
 - Provide a clear and integrated report on the effectiveness of WADA's compliance management system, measuring objectives against key performance indicators (KPIs) through quantitative and qualitative analysis including areas for improvement.
 - Support the strategic focus of WADA's compliance program, assess the effectiveness of the Agency's daily operations and identify where resources should be invested.
 - Detail the interpretation and implications of the findings, trends and lessons learned over time, towards compliance maturity defined in the Compliance Strategy.
- Identify opportunities for continual improvement that will be the foundation for the following year's Compliance Annual Plan. This cycle will be repeated annually as WADA seeks to develop compliance maturity through continual improvement of its own compliance activities and the global anti-doping system.

The Compliance Annual Plan will also synergize with the strategic objectives contained within the WADA 2020-2024 Strategic Plan

The Compliance Annual Report will be published on the [WADA website](#).

2.2 International Standard for Code Compliance by Signatories (ISCCS)

Compliance with the Code by Signatories is governed by the ISCCS, which came into force on 1 April 2018. Following an extensive consultation process, the ISCCS has been revised alongside the Code and other International Standards, and the revised version came into effect on 1 January 2021

The ISCCS provides the framework for Signatories to achieve and maintain compliance and sets out the processes, timeframes and consequences associated when a non-conformity is identified and not solved. Recommending a Signatory non-compliant is a last resort, and WADA provides support and guidance from when the non-conformity is first identified through to when the corrective action is addressed.

As part of the Russian Anti-Doping Agency (RUSADA) case, the ISCCS was put to the test at CAS for the first time. The CAS decision indicates that the ISCCS provides WADA with the necessary framework for decision-making and recommendation of consequences in cases of non-compliance.

The ISCCS also allows WADA to prioritize its compliance monitoring activities of Signatories through the [“Policy for the Initial Application of the International Standard for Code Compliance by Signatories”](#), also known as the “Prioritization Policy”. This policy, which accompanied the release of the ISCCS in April 2018, prioritizes the category of non-conformities (critical, high priority and other (renamed ‘general’ from 1 January 2021)) against the level or Tier of the Signatory. Three Tiers were identified, with Tier 1 representing the highest performing countries and sports. Therefore, logically, those Signatories who represent countries that are successful at Major Sporting Events and sports which are part of the Olympic and Paralympic Games are prioritized by WADA’s monitoring program.

The current Prioritization Policy was due to expire 31 December 2020. However, due to the global COVID-19 pandemic, the WADA Executive Committee approved the recommendation from the CRC to extend the current policy until 31 December 2021. During 2020, WADA Management performed a detailed risk-benefit analysis to determine the future Prioritization Policy and an extensive review of its Tier system using objective sporting performance data. A revised Prioritization Policy will be presented to the WADA Executive Committee in 2021 to come into force at the start of 2022.

The principle of the revised Prioritization Policy will be to **expand compliance accountability** to more Signatories and include more mandatory requirements for implementation towards further enhancing the global anti-doping system.

The operational work undertaken by WADA’s internal Compliance Taskforce is conducted under the supervision of the external, independent CRC, a WADA Standing Committee. The role of the Compliance Taskforce and CRC are explained in the [Compliance Strategy](#).

2.3 Novel Coronavirus (COVID-19) Pandemic

As the 2019 Compliance Annual Report was being finalized in early 2020, the novel coronavirus (COVID-19) pandemic had just been declared by the World Health Organization (WHO). As a result, its impact was included in the 2020 Compliance Annual Plan in order for WADA to monitor and adjust its compliance work accordingly.

The pandemic has had and continues to have a significant impact on the global sporting system including WADA’s compliance monitoring and enforcement activities. Signatories’ ability to maintain their “business as usual” anti-doping activities during 2020 has also been a major challenge and has varied from Signatory to Signatory. The impact, adjustments and opportunities relating to COVID-19 are documented throughout the report.

Due to the travel and public health restrictions in effect in 2020, opportunities for WADA and its Signatories to meet physically stopped, including the annual Anti-Doping Organization (ADO) Symposium, which was canceled. In addition, all of WADA’s CRC, Executive Committee and Foundation Board meetings after March 2020 were conducted virtually as WADA switched to new methods of communication to support Signatories in their transition to the revised Code and International Standards.

2.4 Key WADA Announcements and Achievements in 2020 Impacting Compliance

A number of WADA's activities in 2020 have directly or indirectly impacted the compliance program:

1. In July, WADA launched its organization-wide **Strategic Plan 2020-2024**, detailing WADA's six strategic priorities for the five-year period. Compliance monitoring is part of the strategic priority named "Grow Impact", which aims to '*expand the reach and impact of anti-doping programs by enhancing capacity building and knowledge sharing between ADOs and empowering local program delivery*'.
2. WADA initiated an organizational review in September 2020 to ensure the Agency's structure will allow it to manage and operationalize the Strategic Plan, including compliance, in an optimal way. This work has continued into 2021.
3. In September as well, WADA announced funding had been received to create a new **Compliance Investigation Section (CIS)** within its Intelligence and Investigations (I&I) department. As part of this initial three-year project, compliance monitoring of Signatories will be significantly boosted by a dedicated team of three, comprising an investigator, an analyst and a confidential information manager. The CIS will be able to focus investigations on compliance-related matters that could not previously be fully exploited due to the limited resources of the I&I department.
4. On 1 January 2021, a revised Code, as well as new and revised International Standards, came into force. This includes two new International Standards, for Results Management and Education, which contain new and revised mandatory requirements for Signatories to implement into their anti-doping programs. The new mandatory requirements contained within the Code and the International Standards will increase WADA's compliance monitoring scope in 2021 and beyond.

3. Achievement of 2020 Compliance Objectives

The 2020 Compliance Annual Plan was developed from the conclusions of the 2019 Compliance Annual Report. **Six** priority areas were identified, which resulted in **13** objectives. The status and achievements of these objectives by the end of 2020 are:

- Five are ongoing
- Three were achieved or partially achieved
- Three were not achieved; and
- Two were not started, one of which is related to the Russia CAS case and will start in 2021

Priority Area 1: COVID-19 Impact on Compliance

Objective	Activities	Status
1) Monitoring and support	<ul style="list-style-type: none"> • Regular updates to Signatories on guidance and support during the pandemic 	Ongoing
2) Re-prioritizing WADA's compliance monitoring programs	<ul style="list-style-type: none"> • Proposal on compliance activities to the Taskforce • Endorsement by the CRC • Re-prioritization of compliance monitoring programs 	Achieved

Objective 1:

- Signatories were informed of the outcomes and decisions made by the CRC following CRC meetings in April, August and October 2020. These decisions included:
 - Freezing deadlines for Signatories in a compliance procedure
 - Issuing CARs without deadlines between April and October (soft CARs)
 - Restarting to issue CARs with deadlines in October
- Resources provided to Signatories included:
 - COVID-19 Guidance for Anti-Doping Organizations published by WADA on 20 March 2020.
 - Athlete Q&A documents published by WADA on 23 March and updated on 25 May 2020.
 - ADO Guidance for Resuming Testing published by WADA on 6 May and revised in November 2020.
 - ADO Guidance for Remote Education Programs published by WADA on 5 June 2020.
- The resources provided to Signatories were well received, and many Signatories had the opportunity to share their experiences and contribute to the guidance produced.
- WADA issued a survey to ADOs where one of the objectives was to gather feedback on the various COVID-19 guidance documents.
 - **81%** of Signatories who replied, stated that the guidance provided by WADA was either highly useful or useful.
- A Strategic Testing Group (STEG) has been established by WADA, which includes **eight** ADOs, **one** WADA accredited laboratory and **one** athlete. During their **five** virtual meetings in September and October 2020, the findings from the [COVID-19 ADO survey](#) were reviewed and outcomes of the meetings were communicated to Signatories.
 - Signatories reported that the **two** biggest lessons learned through the pandemic were the importance of technology and the more flexible and innovative work practices which would benefit not only their own organization but the global anti-doping system moving forward.

Objective 2:

- WADA Management proposed adjustments to the compliance monitoring program and enforcement procedures which were endorsed by the CRC in June and September 2020.
- WADA assessed **64%** of its original compliance monitoring plan on Signatories in 2020.

Priority Area 2: Implementation of Executive Committee Decision on RUSADA

Objective	Activities	Status
3) Monitoring and support	<ul style="list-style-type: none">• Monitor implementation of the Executive Committee decision on Russia and support Signatories with the implementation of CAS decisions	Ongoing
4) Retrospective review	<ul style="list-style-type: none">• Define plan, fact-finding strategy, responsible department and approach• Write report and formulate recommendations based on learnings• Revise the ISCCS	Not started

Summary:

- CAS announced its decision on the RUSADA case on 17 December 2020.
- Although the CAS decision did not include the full consequences proposed by WADA's Executive Committee, it did:
 - Agree with the view expressed in the CRC Recommendation that the non-compliance in this case "**could hardly be more serious**".
 - Confirm that compliance consequences for Signatories are necessary to fight against doping and to ensure the level playing field regardless of fault.
 - Find that RUSADA failed to procure an authentic copy of the Moscow Data and therefore failed to comply with the "Post-Reinstatement Data Requirement".
 - Support that the breach was a non-conformity as described in the ISCCS.
 - Justify the CRC decision to implement a fast track procedure under the ISCCS.
 - Confirm that Signatories must be held to account under the ISCCS even if third parties are interfering.

Objective 3:

- Following the publication of the CAS decision, WADA has developed a RUSADA monitoring plan which has been endorsed by the CRC.
- WADA's I&I and Legal teams will monitor and assist results management and ongoing investigations related to operation LIMS.
- WADA will also monitor the implementation of the CAS decision by International Federations and Major Event Organizers.

Objective 4:

- A retrospective review of the RUSADA case will be conducted in 2021.

Priority Area 3: WADA Internal Compliance Management

Objective	Activities	Status
5) Key performance indicators (KPIs): define robust and relevant KPIs to measure the effectiveness and improvements of WADA's compliance monitoring program	<ul style="list-style-type: none"> Define KPIs for each main compliance area 	Not achieved
6) Continuous monitoring: adapt focus of continuous monitoring of high-risk Signatories, support lower-risk Signatories' capacity and program development	<ul style="list-style-type: none"> Identify high-risk Signatories and define their level of monitoring Define approach for capacity building and program development for lower-risk Signatories 	Ongoing
7) Prioritization Policy and Tiers: review Prioritization Policy and Signatory Tiers to balance between compliance enforcement and program development	<ul style="list-style-type: none"> Finalize Tier working group proposals Conduct WADA resource modelling Define nature and compliance enforcement for each Tier Obtain CRC endorsement Obtain WADA Executive Committee endorsement 	Achieved
8) Data analytics: enhance data analytics, including, but not limited to, enhancing the Code Compliance Center (CCC) system and ADAMS monitoring tools	<ul style="list-style-type: none"> Define requirements for analytics Work with technical experts to implement requirements as specifications for updated structure and programming of CCC 	Not achieved

Objective 5:

- WADA's internal compliance management objectives were not fully implemented by the end of 2020. In particular, due to the reduced compliance monitoring activities, no new KPIs were identified.
- In line with WADA's Strategic Plan, organization-wide Strategic KPIs have been identified.

Objective 6:

- Development of a NADO Program Strategy by the Program Development and NADO/RADO Relations department, as well as NADO priority lists within each region, have been identified through the compliance monitoring program and will continue in 2021 with, in particular, enhanced support for NADOs.
- Capacity building and program development activities have been established in program areas of particular need and have included regional and continental approaches to Therapeutic Use Exemption (TUE) and Results Management Panels in 2020 and will continue in 2021.

Objective 7:

- WADA conducted a benefit-risk assessment in developing a new Prioritization Policy and Tiers approach for approval by the Executive Committee in 2021.

Objective 8:

- WADA's IT department trialled new business intelligence software as a first step to improving data analytics in the CCC system. The software will allow greater data analytics to identify trends across

all WADA compliance monitoring programs. The further development and application of this will roll over into the 2021 Compliance Annual Plan.

- ADAMS monitoring tools for Test Distribution Planning and the implementation of the Technical Document for Sport Specific Analysis (TDSSA) were released in 2020 and are now available to all Signatories.

Priority Area 4: Signatory Testing Programs

Objective	Activities	Status
9) Testing programs: guidance for Signatories on budgeting and resourcing; communication and training of Signatories	<ul style="list-style-type: none"> • Develop resourcing and budgeting guidance • Develop accompanying training and communication • Roll out guidance and conduct training 	Partially achieved
10) Major event testing: develop and introduce tools, expertise and guidance to assist Signatories to monitor testing before major events	<ul style="list-style-type: none"> • Define requirements • Develop tools • Develop guidance and training 	Not started

Objective 9:

- Signatory testing program monitoring was enhanced through a project to develop new reports and approaches to improve how WADA assesses Signatories' testing programs in a greater level of detail which goes down to individual athlete level. This has now become part of audits and continuous monitoring.
- Updated Guidelines and resources (such as checklists and templates) for the International Standard for Testing and Investigations (ISTI) are now available to assist Signatories' monitoring of their own testing programs to the same level of detail.
- Five webinars were delivered to Signatories in 2020 to address implementation of the 2021 ISTI in an effective and compliant manner. These were recorded and are available to Signatories as an online resource on Anti-Doping Education and Learning (ADEL).
- Tutorials to train Signatories on how to use the resources will be developed in 2021 in line with the Code Implementation Support Program (CISP) program.

Objective 10:

- Due to the postponement of the Tokyo Olympic and Paralympic Games and rescheduling of other MEO events, this objective was not achieved as resources were used elsewhere.

Priority Area 5: Signatory Readiness for Implementation of the Revised Code and International Standards

Objective	Activities	Status
11) Code Implementation Support Program (CISP)	<ul style="list-style-type: none"> • Launch CISP • Deliver training and support to Signatories 	Ongoing
12) Anti-doping rules review and support to Signatories	<ul style="list-style-type: none"> • Conduct reviews • Provide individualized assistance where needed • Develop, in cooperation with key stakeholders, mechanisms to facilitate the task of Signatories 	Ongoing

Objective 11:

- Signatory readiness for implementing the revised Code and Standards was enhanced by the centralized approach taken by WADA in developing the CISP. A series of over **50** webinars and a vast number of resources including: guidelines, templates and checklists were rolled out to Signatories in ADEL to assist them in their preparation and implementation of the revised Code and Standards.
- 87% of Signatories that completed WADA's COVID-19 ADO Survey indicated they had used resources provided by the CISP; and rated live webinars as the most useful tool.

Objective 12:

- **896** sets of anti-doping rules were reviewed by WADA in 2020. Out of 326 Signatories, **93** still did not have rules in line with the Code and adopted by 1 January 2021 and received a CAR as a result in January 2021. WADA will continue to provide support in 2021.

Priority Area 6: Compliance Risk Management

Objective	Activities	Status
13) Compliance Risk Management	<ul style="list-style-type: none">• Develop process and templates, with support of external consultant• Train staff in risk management• Draft first formal compliance risk management plan• Endorsement of plan by CRC• Implement ongoing risk management	Not achieved

Objective 13:

While WADA conducts risk management on an ongoing basis, the development of a robust organization-wide risk management strategy was included in the WADA 2020-2024 Strategic Plan and will be operationalized in the Compliance Operational Plan. Its implementation will be tracked in the 2021 Compliance Annual Plan.

3.1 Summary

- The 2020 Compliance Annual Plan provided a clear strategic framework for WADA Management to follow up on the outcomes of the 2019 Compliance Annual Report. WADA Management provided a status update to the CRC at each of its meetings in 2020.
- Objectives that were not achieved by 31 December 2020 will be reviewed in line with the organizational review and may roll over into the 2021 Compliance Annual Plan if deemed necessary.

4. Performance Against Key Performance Indicators (KPIs)

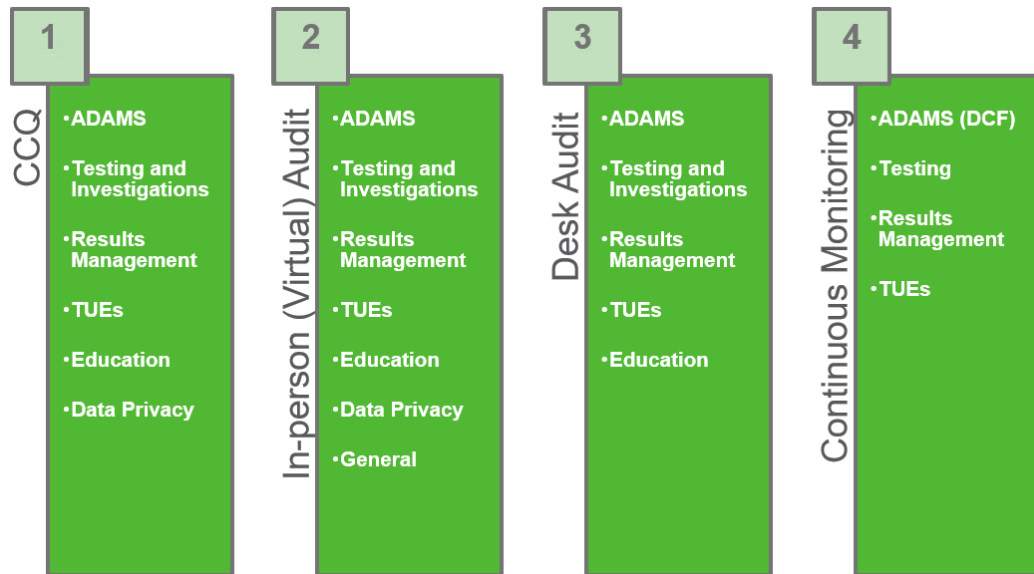
Strategic KPIs based upon the WADA 2020-2024 Strategic Plan were developed in 2020 and work will continue into 2021 to establish these across the organization. As a result, performance against previously set KPIs in relation to compliance is provided in the table below:

Performance targets	Results
<p>Improve the overall compliance maturity of Signatories.</p>	<p>Due to the COVID-19 pandemic, it is difficult to determine whether compliance maturity has improved. Although no Signatory entered a compliance procedure in 2020 due to the pandemic flexibility measures, CARs were issued to Signatories that had already been in a compliance procedure previously, which would suggest that for certain Signatories, maintaining compliant anti-doping programs is a challenge.</p> <p>The continuous monitoring program did not see any Signatories receive a CAR in consecutive years, suggesting for this program that improvements were maintained.</p> <p>Several IFs received the assistance of other organizations in the planning and implementation of their anti-doping programs (e.g., ITA, Canadian NADO, private sample collection agencies) which resulted in significantly less non-conformities than the previous year.</p> <p>NADOs, however, generated a higher proportion of non-conformities, often as a result of more complex anti-doping programs, covering many sports and disciplines when compared to IFs.</p>
<p>Increase the support and resources WADA provides to Signatories on compliance.</p>	<p>The introduction of the CISP resulted in an unprecedented level of support for Signatories in the year preceding a revised Code and International Standards coming into force.</p>
<p>Ensure Signatories are satisfied with WADA's compliance activities towards enhancing global anti-doping programs.</p>	<p>In-person audit feedback rated at 4.8 out of 5. Virtual audits received a rating of 4.9, which demonstrates a high degree of satisfaction.</p> <p>Feedback mechanisms will be added to the Code Compliance Questionnaire (CCQ), continuous monitoring and anti-doping rules review processes in 2021.</p> <p>In addition, the opportunity to provide feedback regarding general compliance was added to the WADA website in 2020.</p>
<p>Meet the ISO9001:2015 objectives and indicators through the internal auditing program.</p>	<p>All objectives were met. A successful ISO certification surveillance audit of the compliance program was held in February 2020.</p>

5. Compliance Monitoring Program

WADA now has four well established, complementary compliance monitoring programs. 2020 was the first full year in which all programs were in effect, albeit slightly reduced in overall scope due to the pandemic.

Figure 1: The scope of the four compliance monitoring programs



Adjustments to the compliance monitoring plan for 2020 were made throughout the year in response to the ongoing assessment of the impact of the pandemic. The table below outlines the revisions to the plan.

	2020 Original Plan	Way Forward Proposal June 2020	Updated Proposal Sept 2020	Completed by end of 2020
Program	No. of Signatories			
Continuous monitoring	82	58	61	61
Desk audits	6	6	2	2*
In-person and virtual audits	19	11	6	6
Total	107	75	69	69

*one desk audit was started in December 2019, but the majority of work was undertaken in 2020.

- Overall WADA completed **64%** of its original plan despite reducing its scope twice. **100%** of the updated proposal plan revised in September 2020 was achieved.
- In June 2020, the compliance taskforce drafted a “way forward” proposal to adjust the scope of the compliance monitoring program following an initial impact assessment of the COVID-19 pandemic. The scope was reduced to focus on higher-risk Signatories and the proposals were endorsed by the CRC.
- In-person audits were postponed due to the travel and public health restrictions in place and were replaced by virtual audits. Virtual audits only started in late September 2020 once Signatories were

back to normal (or near normal) operational capacity and therefore the way forward proposal was adjusted again. Audits that were postponed are planned to take place in 2021.

- **Four** desk audits were postponed due to the impact of the COVID-19 pandemic on these organizations. As a result, **three** of the Signatories were added to the continuous monitoring program in September 2020 and one desk audit will be conducted in 2021.

5.1 Continuous Monitoring Program

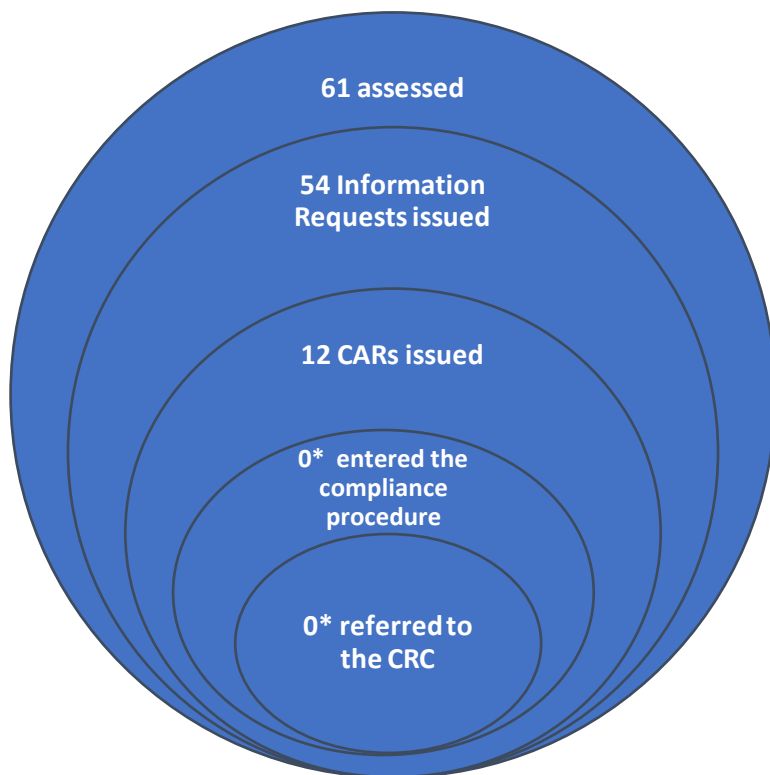
The continuous monitoring program is an annual review of a Signatory's compliance against the critical program areas below, based upon the previous 12 months of activity:

- Doping Control Form (DCF) entry into ADAMS
- Technical Document for Sport Specific Analysis (TDSSA) compliance
- Out-of-Competition Testing
- Registered Testing Pool (RTP) implementation
- Timely and accurate Therapeutic Use Exemption (TUE) applications entry into ADAMS
- Compliant and timely Result Management decisions

Highlights of the continuous monitoring program in 2020 are summarized below:

- **61** Tier 1 and Tier 2 Signatories programs were reviewed and assessed, including **35** NADOs and **26** IFs.
- **Seven** Signatories were fully in line with the critical program areas above and an Information Request was not required.
- **54** Information Requests were issued to Signatories by WADA for Signatories to verify data held by the Agency, provide further information to that held by WADA and/or address shortfalls identified by the Agency.
- **42** Signatories provided satisfactory responses to their Information Request; therefore, no further action was required.
- **12** Signatories (10 NADOs and two IFs) received a CAR, for a total **48** non-conformities. **Four** of these Signatories received a CAR with no deadlines in August 2020 due to the flexible measures in place at the time. None of these Signatories completed their CAR and therefore they received a CAR with deadlines in October 2020.
- The **48** non-conformities were in the following program areas:
 - **28** in Results Management
 - **19** in Testing
 - **One** in TUE
- At the end of 2020, no Signatory had completed their CAR and only **9** of the 48 (19%) individual corrective actions had been implemented. This can be attributed to CARs being sent in late 2020 and/or the lack of implementation of corrective actions during the flexible measures period.

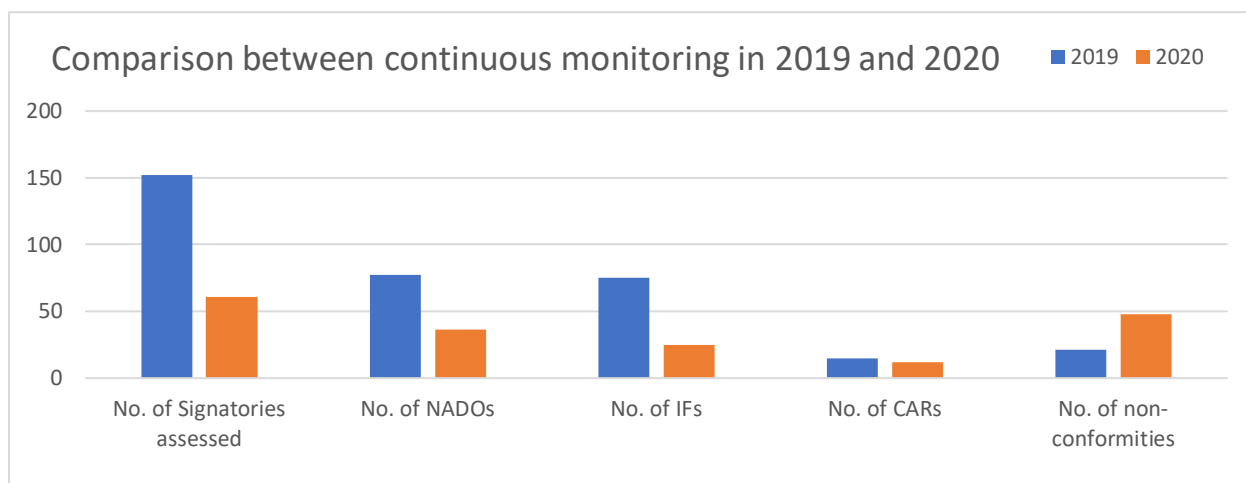
Figure 2: Number of Signatories involved in the continuous monitoring program and outcomes



**Compliance enforcement deadlines were frozen from April 2020 on. As a result, no Signatory entered a compliance procedure or was referred to the CRC in 2020.*

Trends:

Figure 3: Comparison between continuous monitoring scope and outcomes in 2019 and 2020

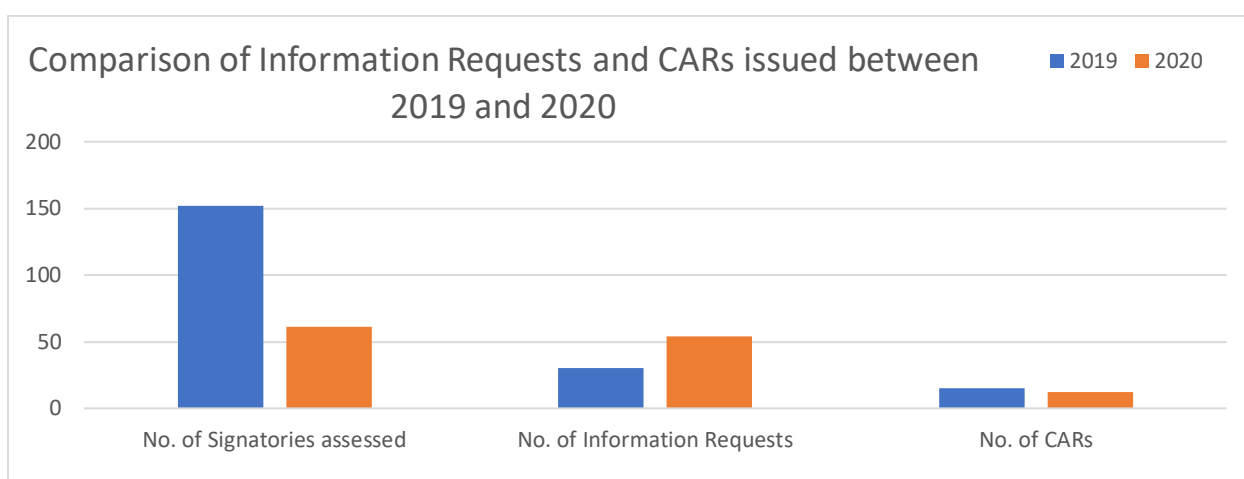


- In 2020, the **12 CARs** issued contained **48 non-conformities (4 non-conformities per CAR)**, whereas in 2019, **15 CARs** contained **21 non-conformities (1.4 non-conformities per CAR)**.

	No. of IFs receiving a CAR	No. of NADOs receiving a CAR	% of IFs receiving a CAR against those assessed	% of NADOs receiving a CAR against those assessed
2019	6	9	8%	12%
2020	2	10	8%	28%

- NADOs received **10** of the **12** CARs issued in 2020 compared with 9 of the 15 CARs in 2019. Based on the number of IFs and NADOs assessed in the table above, the proportion of NADOs receiving a CAR increased significantly while the proportion of IFs remained the same.

Figure 4: Comparison of Information Requests and CARs issued between 2019 and 2020



- The proportion of Information Requests issued to Signatories was much higher in 2020; **89%** of Signatories assessed received an Information Request, compared to only **28%** in 2019. This trend was repeated for the number of CARs issued; **20%** of Signatories assessed in 2020 compared with **10%** in 2019. As this is only the second year of this monitoring program, these increases are attributed to WADA's departments allocating more resources, as well as the evolution of monitoring tools developed by each department.
- Results management non-conformities recorded the most significant rise, from **one** in 2019 to **28** in 2020. As this is only the second full year that the continuous monitoring program has been in place, WADA's Legal department did increase its resources in 2020 and introduced a new pending (open) results management case monitoring program aligned with the continuous monitoring program.
- Testing and TUE non-conformities were consistent across 2019 and 2020.
- TDSSA compliance has improved significantly over the last two years, with over 50% less non-conformities identified in 2020 compared to 2019.
- No Signatory that received a CAR in 2019 for continuous monitoring received a CAR in 2020, which demonstrates that the improvements identified were maintained as part of this compliance monitoring program.

5.2 Code Compliance Questionnaire (CCQ)

Although no Major Event Organization (MEO) CCQs were issued in 2020 due to the postponement of a number of major sporting events affected by the rescheduling of the 2020 Olympic and Paralympic Games into 2021, WADA did sign off the completion of the CARs for the IOC and IPC in early 2020.

The next CCQ for IFs and NADOs will be issued in a staggered approach, starting in 2022. Depending upon the rescheduling of Major Events in 2021, some MEO CCQs may be issued in 2021.

5.3 Signatory Audit Program

Since the introduction of the audit program in late 2016, **53** audits have been conducted by WADA until the end of 2020.

In 2020, the compliance monitoring program most affected by the COVID-19 pandemic was audits. The original plan was to conduct **19** in-person audits and **six** desk audits, however only **one** in-person audit was conducted, and **one** desk audit started prior to the pandemic being declared in March 2020.

A number of Signatories had been notified for audits and dates had been confirmed, however due to the travel and public health restrictions in place, these had to be postponed. As restrictions were gradually relaxed and Signatories returned to their normal operations, the Compliance Taskforce, with endorsement of the CRC, explored the possibility of conducting audits virtually. As a result, WADA rolled out its virtual audit program in September 2020, focusing on those Signatories that had previously been notified for an in-person audit.

A virtual audit is based upon the same scope and review of an in-person audit and uses the same methodology in reviewing and assessing a Signatory's anti-doping program. This type of audit is organized using a video conferencing tool and is conducted over four or five sessions on different days, lasting up to four hours each day. The key difference between a virtual and in-person audit is that at an in-person audit, the majority of documents are requested and reviewed on-site whereas for a virtual audit more documents are requested from the Signatory in advance of the audit, in order for the audit team to conduct a much more thorough review of a Signatory's anti-doping program in advance of the audit. The request of documentation in advance of the audit has proved to be very helpful and therefore will be incorporated into in-person audits when they resume.

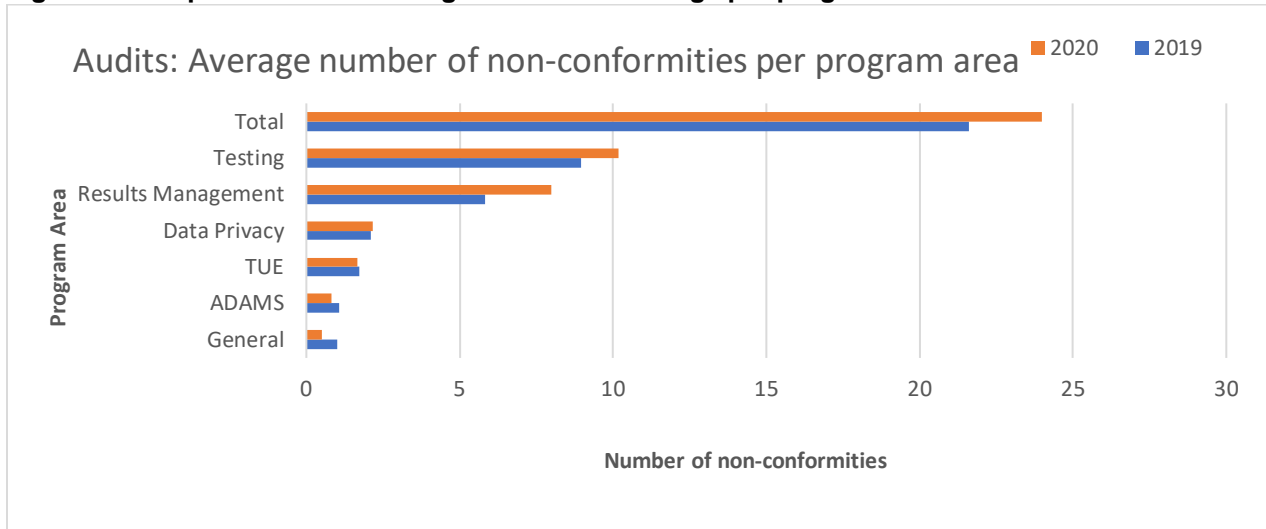
It was also anticipated that desk audits would provide a good opportunity for WADA to continue to assess Signatories' anti-doping programs remotely during the pandemic. However, during a resource modelling exercise conducted as part of the Prioritization Policy benefit-risk assessment, desk audits were found to be more resource-intensive and, coupled with the reduced scope of these audits, it was decided to scale back on the original plan of conducting six desk audits.

In 2020 therefore, **eight** audits were completed – **one** in-person audit, **five** virtual audits and **two** desk audits. Of these audits:

- **Seven** audits were conducted on NADOs and **one** on an IF. The original IF audit plan was significantly affected by the postponement of the Olympic games.
- **Six** CARs were issued by 31 December 2020. **Two** CARs were issued in 2021.
- From the six CARs issued in 2020:
 - **144** findings and corrective actions were identified, of which **17** (12%) have been implemented so far.
 - The range of findings in a CAR was between **18** and **36**, with the average being **24**.

- **No** Signatory has implemented all corrective actions from its 2020 audit CAR by the end of 2020.

Figure 5: Comparison of the average number of findings per program area between 2019 and 2020



Due to the lower number of audits conducted in 2020 compared with 2019, the average number of findings is used to compare trends between 2020 and 2019 audit findings. Trends include:

- The average number of non-conformities per CAR has increased from **21.7** to **24** (11%).
- Results management non-conformities increased the most; **5.8** to **8** per CAR (37%).
- Testing non-conformities also increased but not as significantly; **8.9** to **10.2** per CAR (14%).
- All other program areas recorded relatively consistent non-conformities between the two years.

Figure 6: Comparison of the average number of findings per non-conformity category between 2019 and 2020

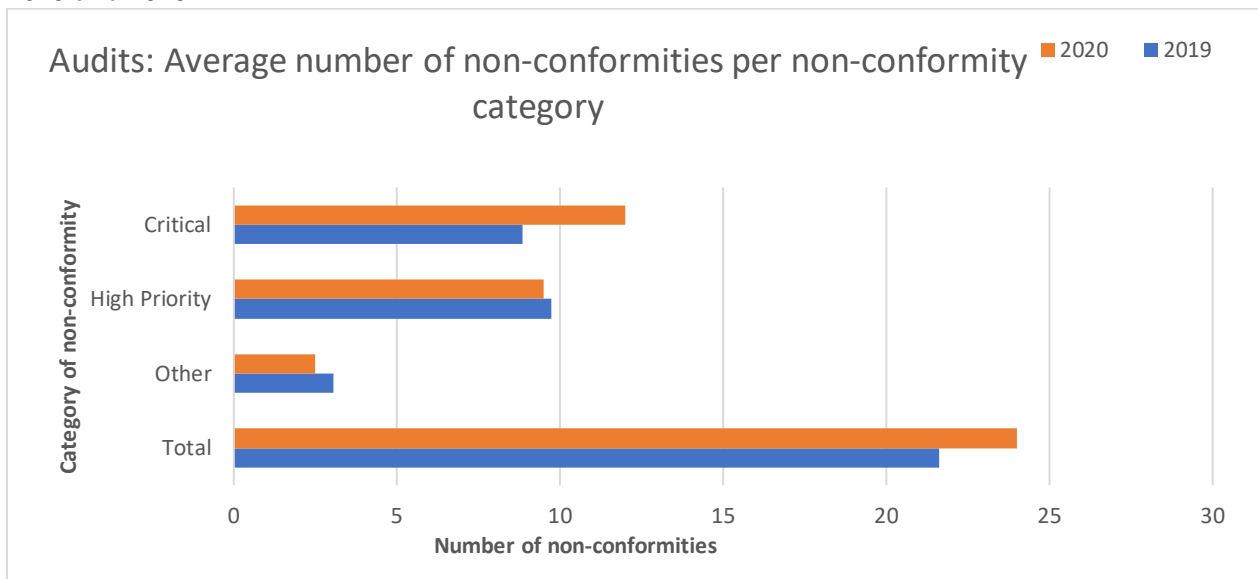
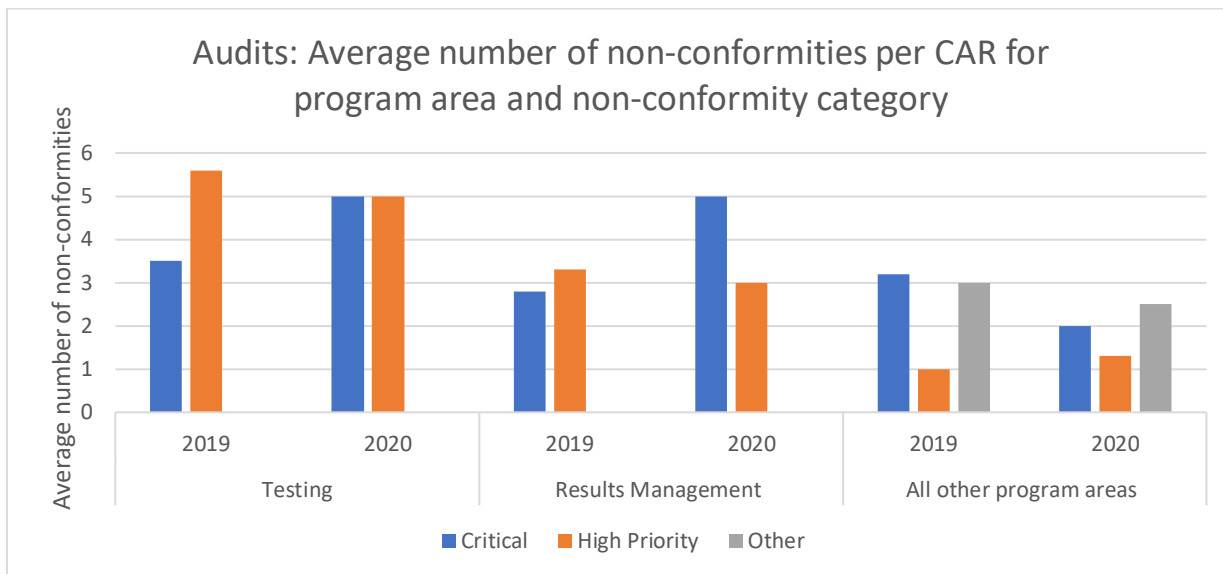


Figure 6 shows that on average, the increase in critical non-conformities from **8.8** to **12** (36%) was the main contributor to the overall increase in non-conformities per CAR.

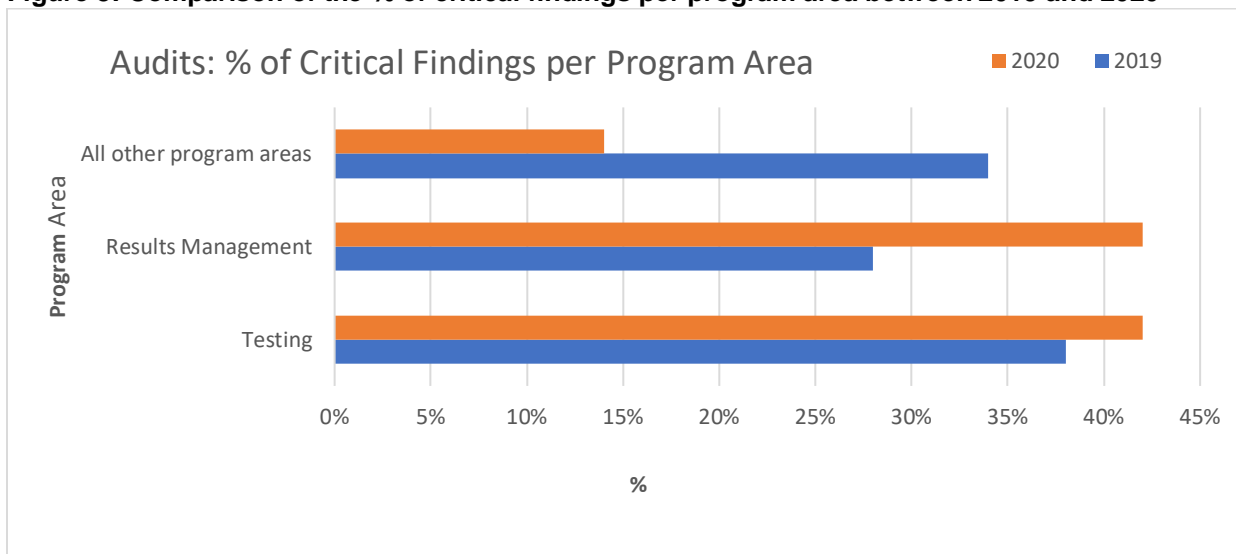
Figure 7: Comparison of the average number of non-conformities per CAR for program area and non-conformance category between 2019 and 2020



The share of critical results management non-conformities increased from 28% to 42% of the total critical findings identified in CARs. The significant drop in the share of critical non-conformities from the 'other program areas' could be attributed to the different types of audits and their scope.

The increase in critical non-conformities between 2019 and 2020 related primarily to testing and results management (Figure 8), while there was a slight decrease in the other program areas' critical findings.

Figure 8: Comparison of the % of critical findings per program area between 2019 and 2020



Due to the pandemic, 2019 audit CARs continued to be implemented throughout 2020. Signatories were able to take advantage of the flexible approach and freezing of deadlines associated with the compliance enforcement procedures.

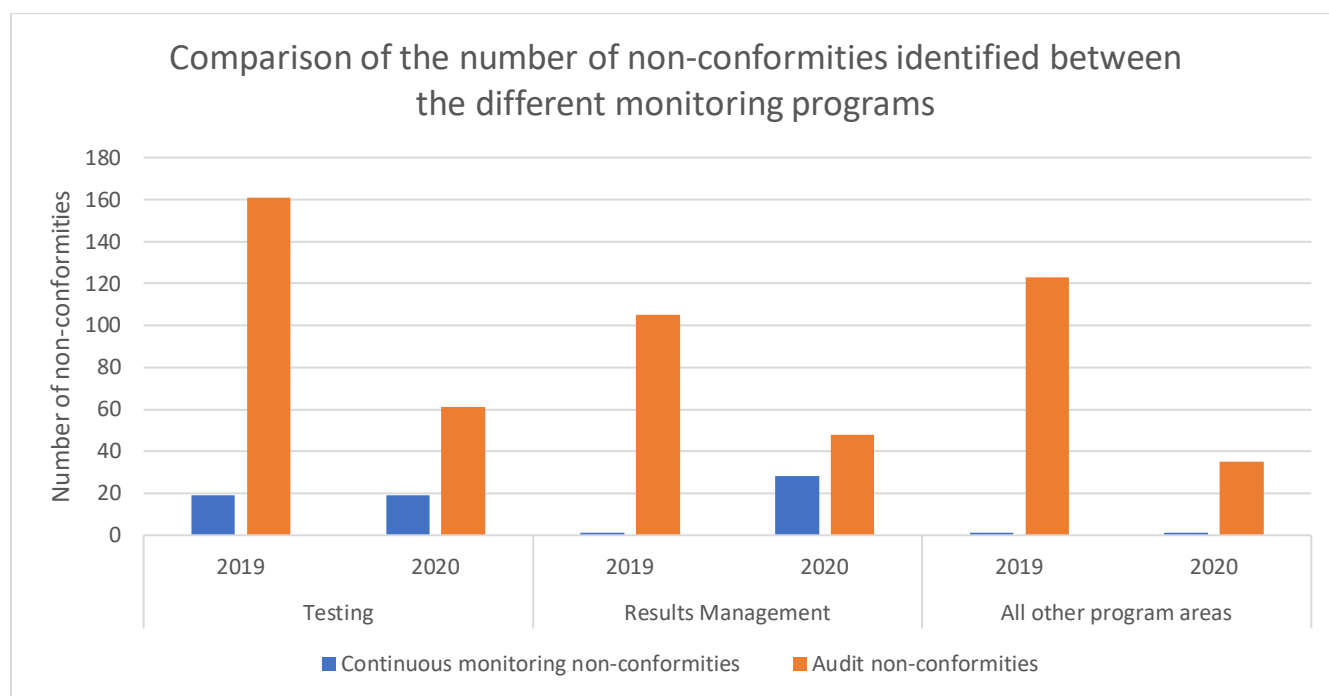
The status of the 2019 in-person audits by 31 December 2020 is as follows:

- **18** audits were conducted in 2019. **Five** audit CARs (all from NADOs) were still not fully implemented at the end of 2020. The other **13** Signatories fully implemented their CAR, **five** did so after March 2020 during the challenging times of the pandemic.
- **Two** NADOs were already in a compliance procedure and were provided with a new deadline of 31 March 2021 to complete outstanding critical corrective actions.
- **75%** of corrective actions (293 of 390) were implemented.

5.4 Compliance Monitoring Program Conclusions

Anti-doping program areas

Figure 9: Comparison of the number of non-conformities identified between the different monitoring programs in 2019 and 2020



NOTE 1: 18 audits were conducted in 2019 and 8 in 2020.

NOTE 2: 152 Signatories were monitored in the continuous monitoring program in 2019 and 61 in 2020.

- In proportion to the number of IFs and NADOs assessed in 2019 and 2020, there was a significant increase in results management non-conformities identified, especially in the continuous monitoring program. Most probably, this is due to the WADA Legal department investing more resources in compliance monitoring and aligning the monitoring of pending (open) results management cases with the continuous monitoring program.
- Proportional to the number of audits conducted, testing non-conformities remained stable, while they increased in relation to continuous monitoring, due to improved monitoring tools in ADAMS. In addition, improvements were identified in TDSSA compliance by Signatories. This was achieved through a combination of Signatories increased familiarity with the requirements of the TDSSA, WADA's compliance monitoring and follow-up on this area, and ADAMS monitoring tools released in 2020 allowing Signatories to monitor their own TDSSA compliance. In addition, the TDSSA

Expert Group issued further flexible approaches towards implementing the TDSSA in late 2019. DCF entry into ADAMS for Signatories has remained consistently above **99%** in 2019 and 2020.

- There was a significant drop in non-conformities identified for the other program areas at audits between 2019 and 2020. This could be due to the nature of the type of audits conducted in 2020, i.e. virtual as opposed to in-person.

CAR implementation

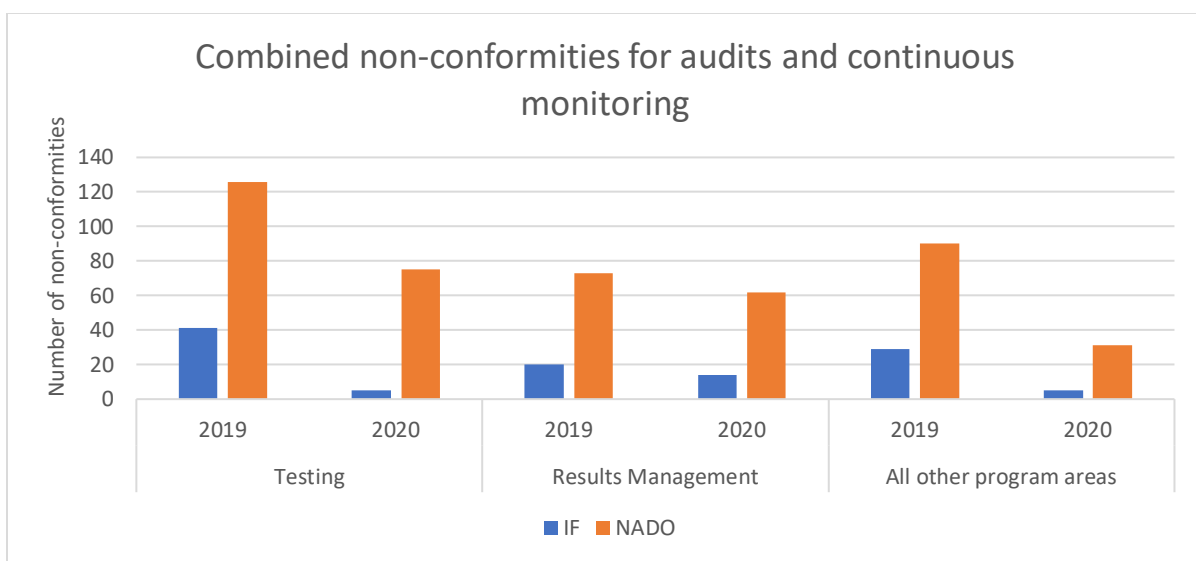
- Despite the temporary more flexible approach to compliance, in particular the freezing of CAR deadlines, some Signatories were able to continue implementing corrective actions during the pandemic. Other Signatories, including five audited in 2019 and those that received a “soft CAR” in 2020, were not able to fully complete their corrective actions.
- Deadlines are effective in ensuring corrective actions are implemented. Once CARs with deadlines were issued in October 2020, WADA noticed an increase in activity by Signatories in implementing corrective actions.

Type of audit

- Virtual audits, and to a lesser extent desk audits, were effective in performing a detailed review of a Signatory’s anti-doping program compared to in-person audits, which was a concern raised during the introduction of these audits in 2020. The average number of corrective actions for virtual audits conducted in 2020 was 25, which is slightly higher than the average for in-person audits (21.4), however the sample size is much smaller for virtual audits. WADA will continue monitoring the effectiveness of virtual audits and conclusions will be drawn when a bigger number of virtual audits are conducted.
- Virtual audits are less resource-intensive than desk audits and are therefore the preferred option as an alternative to in-person audits.

Type of Signatory

Figure 10: Comparison of the total number of non-conformities identified between IFs and NADOs in 2019 and 2020.



- In 2020, NADOs generated a higher proportion of findings and non-conformities, often as a result of more complex anti-doping programs, covering many sports and disciplines when compared to IFs.

- NADOs also took longer to implement their CARs, with **five** NADOs still implementing corrective actions from 2019 audits. In **two** of those cases, new legislation was passed to support the work of the NADO, which does take considerable time to implement and is often out of the direct control of the NADO. The impact of the pandemic on countries was also a significant factor for NADOs implementing corrective actions.
- As part of the continuous monitoring program, only **two** of **26** (8%) IFs received a CAR while **10** of **35** (29%) NADOs received a CAR. The role of a number of organizations (e.g., ITA, the Canadian NADO, and private sample collection agencies) involved in managing and supporting IF anti-doping programs continues to have a positive effect in terms of compliance (and independence).

5.5 Opportunities to Improve

WADA's compliance monitoring programs are still evolving and maturing, and 2020 presented unprecedented challenges, making clear comparisons difficult. However, a number of opportunities to improve the compliance monitoring program have been identified:

- With the increase in organizations supporting IFs resulting in fewer non-conformities, similar strategies need to be explored and implemented in order to assist NADOs. This has been identified as a strategic priority of WADA's 2020-2024 Strategic Plan under the "Grow Impact" priority for 2021.
- The area of data analytics within WADA will remain on the 2021 Compliance Annual Plan. Although some improvements in report generation and analysis for testing have been achieved, these remain resource-intensive. Opportunities to integrate software are still being explored by WADA's IT department, and the improvement of organization-wide data analytics is a strategic priority and included in WADA's 2020-2024 Strategic Plan.

6. Anti-Doping Rules

At the beginning of 2020, all Signatories had anti-doping rules and/or legislation in line with the 2015 Code and International Standards. When a revised Code comes into force, all Signatories are required to update their rules accordingly. Since the World Conference on Doping in Sport in November 2019, when the revised Code and International Standards were approved, all Signatories were encouraged by WADA to start the process of amending their anti-doping rules and/or legislation in order to incorporate the 2021 Code by 1 January 2021.

WADA communicated at this time that all Signatories had to have their anti-doping rules signed off by WADA as being in line with the revised Code and International Standards and adopted into the Signatory's relevant legislative system. WADA also provided regular assistance and guidance to Signatories in this process. In particular, WADA provided Model Rules based on the 2021 Code to Signatories in December 2019 and dedicated significant time and resources throughout the year, including through WADA's Regional Offices, to facilitate the implementation of the 2021 Code by all Signatories. This included:

- WADA-led webinars (including a webinar focused on Anti-Doping Rules),
- Virtual meetings,
- Targeted individual assistance to Signatories where needed, and
- Cooperation programs that WADA developed with global stakeholders such as the Association of National Olympic Committees (ANOC), the Global Association of International Sports Federations (GAISF), the ITA and the Regional Anti-Doping Organizations (RADOs) to support their respective members in this exercise.

By 31 December 2020, the status of anti-doping rules in line with the 2021 Code and adopted by the **326** Signatories was as follows:

International Federations

- 97% of Olympic International Federations (IFs),
- 85% of IFs recognized by the International Olympic Committee (IOC),
- 83% of IFs not recognized by the IOC but members of the Alliance of Independent Recognized Members of Sport (AIMS), and
- 59% of “other IFs”.

National Anti-Doping Organizations (including National Olympic Committees acting as NADOs)

- 95% of NADOs from the Americas,
- 58% of NADOs from Africa,
- 53% of NADOs from Oceania,
- 48% of NADOs from Asia, and
- 37% of NADOs from Europe.

Rules review is a work-intensive activity since WADA must frequently review several versions of the Signatories’ draft rules before being able to consider the final draft in line with the Code. In this regard, between 1 January 2020 and 31 December 2020, WADA reviewed **896** sets of rules. Some Signatories provided over 10 drafts over a number of months until their rules were deemed in line with the Code.

A number of countries have also chosen to implement the Code through domestic legislation. In these cases, which represent less than 10% of the Signatory NADOs (for both the 2015 and 2021 Code implementation), WADA supported work conducted to amend the relevant legislation in line with the 2021 Code.

The figures above highlight that, by 31 December 2020, a significant number of Signatories (NADOs in particular) still did not have rules in line with the 2021 Code or had not adopted them despite numerous WADA reminders and multiple contacts through the Agency’s Regional Offices.

Throughout 2020, WADA also received from a number of Major Event Organizations (MEOs) anti-doping rules based on the 2021 Code. However, given the limited jurisdiction of MEOs and the fact that their rules only apply to the period of their specific event, MEOs were not required to have rules in line with the 2021 Code by 1 January 2021.

The rules-reviewing process continues to be certified under WADA’s compliance monitoring program ISO9001:2015 certification. Based on ISO process, WADA has to provide feedback to Signatories on the draft rules submitted for review, within a maximum of three weeks from the date of receipt. WADA met this objective throughout 2020. This element was crucial in order to maintain momentum in the drafting process for a number of Signatories.

Lessons learned:

Lesson Learned	Action Taken
The volume of rules and/or legislation to review has been significant and WADA’s resources have been stretched in particular in order to meet the pre-determined timeline for WADA to provide feedback, as per the ISO-certified process.	WADA will have to continue to ensure that sufficient resources are allocated to this important task. Furthermore, the cooperation in this area with other organizations such as GAISF, ANOC and the RADOs remains crucial in order to facilitate this task for Signatories.
Implementing the mandatory provisions of the Code in the internal legal system can be a	WADA identified and contacted Signatories for which previous experience indicated that rules

Lesson Learned	Action Taken
<p>challenging exercise for some Signatories, and a considerable amount of time can be required before a final draft that is fully in line with the Code is finalized. In some cases, the adoption process that starts once the draft is in line with the Code can also be time-consuming. Despite WADA's targeted reminders to these Signatories since the beginning of 2020, a considerable number of Signatories only started drafting rules in the second part of 2020. This created delays for a number of them and ultimately did not allow some of them to complete the process in time.</p>	<p>review might be a challenge and provided individualized support and guidance. Through the CISP, Signatories were reminded of the requirement to both provide rules in line and ensure that these rules would be adopted in a timely manner.</p> <p>Moving forward, WADA will continue to stress the importance for Signatories to allocate sufficient time and resources to this task and to alert them that despite the guidance and assistance provided by WADA, this task can be very time-consuming.</p>
<p>Based on the feedback provided by Signatories, the COVID-19 pandemic did not appear to be a reason for the delays they experienced. A number of Signatories indicated that the suspension or reduction of some of their activities (e.g., reduced testing) had in fact resulted in additional time and resources being allocated to the rules drafting exercise. The only exception to this concerned the very few Signatories that had to adopt legislation through a parliamentary process (which, for some, was delayed by the COVID-19 pandemic).</p>	<p>WADA will continue to ensure that appropriate assistance and guidance is provided to all Signatories in this exercise and to provide individualized assistance to the few Signatories requiring amendments to the legislation.</p>
<p>One area of concern relates to Signatories that provided a final draft or, in some cases, a final version of their rules and/or legislation that had already been adopted within their legal system yet was not in line with the revised Code.</p>	<p>WADA will continue to remind Signatories of the need to provide drafts for review prior to the beginning of the internal process leading to their formal adoption and to address it from a compliance point of view when needed. The risk for Signatories that provide WADA with already adopted documents is that, if edits are required following WADA's review, it can be challenging from a technical, process and/or political point of view to amend a document that was recently adopted.</p>

7. Code Compliance (Enforcement) Procedures

When non-conformities are identified, the objective is to assist Signatories through dialogue and support in order to correct their non-conformities and ultimately achieve and maintain compliance with the Code. Declaring Signatories non-compliant is a last resort, as per the ISCCS.

However, if a Signatory does not correct its non-conformities within set timeframes as per the ISCCS, the Compliance Taskforce launches an enforcement procedure (compliance procedure), giving the Signatory written notice that a non-conformity has not been corrected and a new timeframe (of up to three months) to correct it.

If the matter is not satisfactorily addressed by the Signatory within this new timeframe, the case is referred by the Compliance Taskforce to the CRC, which may recommend to WADA's Executive Committee that

the Signatory be sent a formal notice alleging that it is non-compliant with the requirements of the Code and/or the International Standards.

In 2020, a significant number of Signatories had to temporarily interrupt or reduce their anti-doping activities due to the COVID-19 pandemic. Following a meeting of the CRC in late March 2020, a number of flexible measures were therefore approved to reflect the various situations and stages of compliance that Signatories were engaged in during the pandemic. These flexible measures included the following:

1. All pending compliance procedures were suspended. Therefore, no Signatories were:
 - i. entered into a compliance procedure,
 - ii. referred to the CRC by the Compliance Taskforce,
 - iii. referred to the WADA Executive Committee by the CRC.
2. In cases where the deadline contained in a CAR had expired, a compliance procedure was not started.
3. CARs with deadlines were not issued where non-conformities had been identified. Instead, the relevant WADA Regional Office communicated the content of the CAR and encouraged the relevant Signatories to start implementing their corrective actions without any of the timelines outlined in the ISCCS being imposed.
4. For all compliance matters where a Signatory was due to receive an Information Request or a Mandatory Information Request (MIR), the content was communicated to the Signatory informally by the relevant WADA Regional Office.

These flexible arrangements were extended by the CRC at its June and August 2020 meetings.

At its October 2020 meeting, based on its review of the evolution of the impact of the pandemic on anti-doping programs worldwide, including analysis of global testing data activity and corrective actions implemented by Signatories since its previous meeting in August, the CRC recommended to WADA to restart issuing CARs with deadlines and, where applicable, Mandatory Information Requests (MIRs) with deadlines in accordance with the ISCCS. This included the re-issuing of CARs without deadlines mentioned above as CARs with deadlines.

In addition, the CRC confirmed its previous decision that no Signatory should enter a compliance procedure or be referred to the Executive Committee except in cases of “fast track” compliance procedures, i.e. in situations where serious non-conformities were not resolved by a Signatory who was in a position to do so.

Throughout the year, WADA communicated these measures to all Signatories immediately after each CRC meeting.

As mentioned above, on 17 December 2020, the Court of Arbitration for Sport (CAS) declared RUSADA non-compliant with the Code for a period of two years and imposed a number of consequences.

Lessons learned:

Lesson Learned	Action Taken
Following the suspension of compliance procedures, certain Signatories did not progress the implementation of corrective actions to the extent that could have been expected, despite continuous support from WADA.	At its October 2020 meeting, the CRC recommended to WADA to restart issuing CARs and, where applicable, MIRs immediately.
A flexible approach was required in the context of the pandemic in order to take into consideration the extraordinary challenges faced by Signatories whilst ensuring at the same time that the activity conducted by Signatories was in line	The CRC was able to recommend proportionate measures to strike a balance between pursuing effective protection of clean sport and recognizing the continuing impact of the pandemic on the operations of many Signatories worldwide.

with the relevant requirements set forth in the Code.	
As evidenced by the RUSADA case, the possibility provided in the ISCCS for Signatories to dispute allegations of non-compliance to CAS can create substantial extra costs for WADA and these costs are not easily quantifiable in advance.	WADA needs to be flexible in its budget and resource allocation and continue to ensure a contingency budget is in place for potential CAS appeals related to compliance.
In the case related to RUSADA, the ISCCS was applied for the first time before CAS and the decision adopted by the CAS Panel confirmed the effectiveness of the process set for the in the ISCCS, where WADA is not the judge but a party to the case, at the same level as the other party which is the relevant Signatory.	WADA acknowledges the conclusions of the CAS Panel and gathers from this decision that the procedure set by the ISCCS is solid and effective.

8. Risk Management

In the 2020 Compliance Annual Plan, the requirement to develop a compliance risk management system was included as an output of the 2019 Compliance Annual Report. This was not completed in 2020 due to the ongoing development of an organization risk management system for the Agency; however, the requirement has been operationalized from WADA's 2020-2024 Strategic Plan and will be included in the 2021 Compliance Annual Plan.

Throughout 2020, a number of risks were identified through the work of the Compliance Taskforce and the CRC. Mitigating action was taken through WADA's operations, and its effectiveness is summarized below:

Risk	Mitigating Action taken	Effectiveness
<p>Compliance monitoring has limited capacity to uncover sophisticated doping programs such as those that occurred in Russia and in weightlifting.</p>	<p>WADA announced in September 2020 that a Compliance Investigation Section (CIS) would be established as part of WADA's Intelligence and Investigations (I&I) department. The three-person team will be operational for three years initially with the ability to assist the compliance monitoring program with investigative capabilities.</p>	<p>CIS staff was recruited in record time. They have participated in virtual audits and are members of the Compliance Taskforce. Further integration and measuring of the effectiveness of the CIS will be monitored as part of the 2021 Compliance Annual Plan.</p>
<p>The COVID-19 pandemic impact on testing programs might lead to doping havens being established in countries where no testing is taking place.</p>	<p>WADA created a Strategic Testing Expert Group (STEG) to develop guidance to allow Signatories to safely resume or intensify their testing programs to protect the health of the athletes and sample collection personnel. The group also reviewed and provided feedback and guidance to Signatories that piloted modified testing programs during the pandemic. In addition, WADA provided guidance for Signatories to conduct remote education sessions safely to athletes.</p> <p>WADA conducted a survey with all ADOs to assess the impact of COVID-19 on their operations.</p> <p>WADA has continually encouraged ADOs to use all available tools to maintain the integrity of their anti-doping system when testing may be</p>	<p>The survey conducted outlined that the guidance and education WADA provided was well received by all stakeholders. A number of innovative testing solutions were piloted during the pandemic by Signatories. The STEG recommended that a feasibility study be conducted to further evaluate such modified programs and to determine if key departures from the International Standard for Testing and Investigations can be minimized to uphold the integrity of the sample collection process.</p>

Risk	Mitigating Action taken	Effectiveness
	<p>temporarily diminished. These tools include, in particular; education for athletes and others; the Athlete Biological Passport, which assesses the evolution of athletes' biological profiles; intelligence received through whistleblowers, which can lead to target-testing or to launching investigations; and, sample storage for future re-analysis as science advances and detection techniques are refined.</p> <p>WADA is collaborating with ADOs to develop new analytical techniques.</p> <p>WADA is also working with stakeholders such as the ITA as part of the pre-Tokyo Olympic Games Taskforce to identify and address anti-doping testing gaps across the world.</p>	
<p>The cancellation of in-person audits due to the pandemic could result in less detailed monitoring of Signatories' anti-doping programs.</p>	<p>WADA introduced desk and virtual audits in its compliance monitoring program in 2020 and continued to conduct its continuous monitoring program.</p>	<p>Although the total number of audits was reduced, a similar number of non-conformities were discovered by the alternative audit types. Continuous monitoring identified an increase in non-conformities compared to the previous year.</p>
<p>The RUSADA CAS case outcomes could undermine the ISCCS.</p>	<p>Throughout the RUSADA non-compliance case, the ISCCS was the foundation for all decisions made by WADA, the CRC and the WADA Executive Committee. The ISCCS had been approved following Signatory and stakeholder engagement and approved by WADA's Foundation Board. Even with all Standards being revised alongside the 2021 Code, few changes to the ISCCS were made following extensive consultation with all WADA stakeholders, and the ISCCS proved to be fit for purpose.</p>	<p>Under robust scrutiny, the ISCCS proved to be effective. WADA President Mr. Witold Banka stated: <i>"The full CAS reasoned decision shows clearly that WADA successfully proved its case and exposed the Russian authorities' brazen attempts to manipulate data from the Moscow Laboratory in an effort to thwart our investigations. We are satisfied that this landmark decision also upholds the strong investigative and legal framework put in place by WADA in recent years that underpins the anti-doping</i></p>

Risk	Mitigating Action taken	Effectiveness
		<p><i>system. In particular, the investigative powers WADA was belatedly granted and the introduction of the Compliance Standard in 2018 have proven to be game changers".</i></p> <p>To further consolidate the ISCCS, WADA plans to launch an open stakeholder consultation process in 2021 to assess whether amendments should be considered.</p>
<p>Signatories, in particular NADOs, maintaining fully compliant anti-doping programs after a CAR has been completed.</p>	<p>Targeted development strategies for NADOs.</p>	<p>WADA has facilitated a number of NADO to NADO partnerships. Developing these partnerships further is part of the 2021 Compliance Annual Plan.</p>
<p>Signatories with no anti-doping rules in place at the start of 2021 have no legal basis to implement the 2021 Code and International Standards</p>	<p>Numerous cross-departmental strategies employed by WADA were implemented to support Signatories in adopting rules in line with the Code prior to the 1 January 2021. These included meetings, workshops, webinars, creation of templates and resources to be able to review rules within three weeks of receipt.</p>	<p>Almost a third of Signatories did not have anti-doping rules adopted by 1 January 2021. However, this number is going down fairly quickly.</p> <p>Guidance to support those Signatories will continue to be provided by WADA until all adopt rules that are deemed in line with the Code.</p>

9. Special Issues

Russia

Six years after the Russian doping scandal was first exposed, CAS rendered its decision on the case on 17 December 2020. In accordance with WADA's Legal Note published following publication of CAS's full decision on 14 January 2021, WADA's summary was the following:

In conclusion, the CAS Panel upheld the ISCCS and, in particular, the principle that centralized and harmonized consequences can and must be implemented through WADA's Signatories where non-compliance occurs, even where the underlying conduct is undertaken not by the Signatory but by third parties such as governments. The CAS Panel understood the seriousness of the non-compliance in this case and the harm caused to the fight against doping and the integrity of sport. Indeed, it held in its conclusion that the "saga that has followed the exposure of systemic doping practices in Russian sport, including the matters which are the subject of this arbitration, has considerably damaged the history of Russian and international sport". In accordance with the ISCCS, the Panel carried out its own proportionality assessment, taking into account the imperatives set out in the ISCCS. Whereas the Panel upheld a significant number of the consequences proposed by WADA, the Panel ultimately took the view that the

period of consequences should be two years (rather than four) and that athletes should not be excluded unless actually prosecuted for anti-doping rule violations. WADA regrets that latter finding in particular, not least as the Panel recognized in its conclusion that the data manipulation “is likely to thwart or at least substantially hinder the ability to identify those athletes who participated in the doping scheme”.

Weightlifting

The sport of weightlifting, and in particular the International Weightlifting Federation (IWF), has been under the spotlight following a number of investigations, including an independent investigation initiated by the IWF following a media investigation into the historical conduct and handling of doping cases. The report of this independent investigation, which was provided access to the IWF servers and other electronic records that were not available to WADA, was published on 4 June 2020 and identified a number of unresolved doping cases.

Some of the details surrounding these historical cases, such as the names of some athletes or the relevant results management authority, were unknown to WADA despite multiple follow-ups with the IWF. These cases pre-dated the coming into force of the ISCCS.

As a result, WADA’s legal team has been working with the ITA, who was appointed to handle the results management of the pending cases as well as the entire IWF anti-doping program, and updates were provided to the CRC throughout 2020.

In addition, WADA’s I&I department, who was the first to initiate an investigation into weightlifting, provided a public update on its own investigation on [22 October 2020](#), and this work will continue in 2021.

NADO Operational Independence

The 2021 Code includes a strengthening of the operational independence required of NADOs. To assist NADOs, WADA published a “Guide for the Operational Independence of NADOs” on 9 November 2020 and hosted a webinar on 4 December 2020 to support NADOs in implementing these Code requirements. The Guide outlines the compliance framework that will support these strengthened requirements and that will include the monitoring of NADO operational independence in WADA’s compliance monitoring program in 2021 and beyond.

10. Integrated Assessment of Findings and Areas of Special Focus

10.1 WADA Internal Structures, Processes and Compliance Monitoring

- The WADA compliance program has adjusted and evolved and now has a number of established, flexible, effective and robust compliance monitoring programs.
- As part of the ongoing review of the Prioritization Policy, WADA conducted a detailed resource modelling exercise with particular focus on the resources required for the different compliance monitoring programs. These models will be refined and used for decision making in the future.
- With the introduction of the Compliance Investigation Section, WADA will be further equipped to identify and investigate compliance issues and deal with them in a more timely and effective way, in line with the ISCCS.
- Compliance maturity is not yet fully established within Signatories, however WADA's departments and staff are becoming more effective and efficient in their compliance monitoring activities. WADA's organization review will further clarify roles and responsibilities in the compliance area.
- WADA successfully implemented its Code Implementation Support Program throughout 2020 to present the key changes and strategies to implement the revised Code and International Standards. The focus in 2021 will be to identify training and education opportunities to bring the various resources (guidelines, templates and checklists) to life in a practical manner and to ensure increased understanding of the requirements ahead of the next CCQ in 2022.
- Flexible compliance measures applied in response to the COVID-19 pandemic, in particular the freezing of deadlines and enforcement procedures in the compliance monitoring program, naturally resulted in fewer corrective actions being implemented by Signatories in 2020 as they dealt with the impact of the pandemic.

10.2 Monitoring Signatory Compliance

The key findings of Signatory compliance monitoring in 2020 are:

- WADA, through an adaptable and innovative approach, was able to continue to monitor Signatories' anti-doping programs through continuous monitoring and the introduction of virtual audits while providing significant resources and support to Signatories in amending their anti-doping rules.
- Results management generated a significant number of non-conformities across WADA's monitoring programs compared with previous years. The coming into force of the new International Standard for Results Management on 1 January 2021 has been accompanied by a suite of resources including guidelines, regional training workshops and templates to provide Signatories with the tools to improve their results management programs.
- NADOs have generated more non-conformities than IFs due to the more complex nature of their anti-doping programs. They have also taken longer to implement corrective actions and therefore have remained in compliance procedures for longer periods of time. A more focused approach is being developed, including a NADO program strategy, specific NADO guidelines, priority development lists

of NADOs per region, and regional and continental approaches to improve specific program areas, such as results management (linked to the finding above) and TUEs.

- Supporting agencies and organizations such as the ITA and Canadian NADO contributed to significantly improve IF anti-doping program independence and compliance.
- Almost one third of Signatories did not adopt anti-doping rules in line with the 2021 Code before 1 January 2021.

11. Implications for WADA's Compliance Monitoring Program in 2021

On the basis of the findings and trends identified in 2020, WADA's focus in 2021, which will be detailed in the 2021 Annual Compliance Plan, will be:

Implementation of Executive Committee Decision on Russia

- Support and monitor Signatories with the implementation of the CAS decision.
- Conduct a retrospective review of the RUSADA case.

WADA internal compliance management

- **Revise WADA's compliance structures, process and activities** in light of WADA's organizational review.
- **Key performance indicators:** further define robust and relevant KPIs to measure the effectiveness and improvements of WADA's compliance monitoring program.
- **Prioritization Policy and Tiers:** review the Prioritization Policy and Signatory Tiers to find the right balance between compliance enforcement and program development towards continually improving the global anti-doping system.
- **Data analytics:** enhance data analytics in the area of compliance, including, but not limited to, enhancing the CCC system and ADAMS monitoring tools.
- **Integrate the Compliance Investigation Section** into compliance monitoring and assessment.
- **Prepare the CCQ** for roll out in 2022.

NADO improvement opportunities

- Identify strategies, partnerships and resources to support NADOs in meeting and maintaining their compliance obligations.
- **Support and monitor NADOs** for them to achieve and maintain operational independence in line with the revised Code requirements.

Anti-doping programs

- **Monitor implementation of the International Standard for Results Management** by Signatories and offer support in reducing non-conformities in this area.

Ongoing implementation by Signatories of the revised Code and International Standards

- Continue to implement an effective **Code Implementation Support Program**, ensuring Signatories, athletes and stakeholders understand through training and education the requirements of the current version of the Code and the International Standards and implement them effectively.

- Provide ongoing **anti-doping rules review and program support** to Signatories to ensure they apply the 2021 Code and International Standards as soon as possible.

Compliance Risk Management

- Introduce and develop a compliance risk management system and plan.