



## **Annex V**

# **Standard for out-of-competition equine medication control (out-of-competition testing)**

**of the**

**German Equestrian Federation (FN)  
in Warendorf**

**and the**

**German National Anti-Doping Agency (NADA)  
in Bonn**

**Version 1.2**

**As at 21 July 2016**

**Contents**

PREAMBLE ..... 3

ARTICLE 1 SCOPE ..... 4

ARTICLE 2 PLANNING ..... 5

ARTICLE 3 NOTIFICATION OF THE PERSON RESPONSIBLE OR DESIGNATED REPRESENTATIVE FOR THE HORSE TO BE TESTED ..... 9

ARTICLE 4 PREPARING FOR THE SAMPLE COLLECTION SESSION ..... 15

ARTICLE 5 CONDUCTING THE SAMPLE COLLECTION SESSION..... 17

ARTICLE 6 SECURITY AND POST-TEST ADMINISTRATION ..... 20

ARTICLE 7 TRANSPORT OF SAMPLES AND DOCUMENTATION..... 21

ARTICLE 8 OWNERSHIP OF SAMPLES ..... 22

ARTICLE 9 SAMPLE ANALYSIS AND RESULTS MANAGEMENT ..... 23

ANNEX: ..... 24

    A) Sample collection equipment ..... 24

    B) Collection of urine samples ..... 25

    C) Collection of blood samples ..... 25

    D) Medication control personnel requirements ..... 31

    E) DOKR logbook ..... 32

    F) Identification of the horse to be tested without passport..... 33

    G) Terms and definitions ..... 34

## **PREAMBLE**

When working with horses, the animals' health and well-being shall take precedence over any expectations and interests. In the interests of animal health and animal welfare, a horse shall have fully recovered from a disease before being allowed to return to competition. In addition, the horse shall be free from prohibited substances at the *event*.

To adequately prepare for an *event*, *training* shall be accompanied by *testing* based on physiological performance parameters. The tests aim at preventing the use of performance-altering substances and methods.

## ARTICLE 1 SCOPE

On July 21, 2016 the Sports Council of the German Equestrian Federation (*FN*) adopted Annex V – Standard for *out-of-competition* equine medication control (hereinafter “*standard for out-of-competition testing*”) in the circular proceedings based on Article 5.2 of the *ADMR* – as a binding part of the Rule Book (*LPO*) and the Anti-Doping and Medication Control Regulations (*ADMR*).

The main purpose and aim of the standard for *out-of-competition testing* is to ensure that *out-of-competition testing* is thoroughly planned and carried out and that the integrity and identity of samples is preserved from the time the *person responsible* or *designated representative* for the horse to be tested is notified until the samples arrive at the *accredited laboratory* for analysis.

The standard provides rules for *out-of-competition testing of sport horses of the FN/DOKR* (German Olympic Equestrian Committee). In addition, it governs the entire *testing* process, including planning *sample collection*, notifying the *person responsible* or *designated representative* for the horse to be tested, preparing and carrying out the *sample collection*, ensuring security and follow-up, transporting samples and managing test results.

## ARTICLE 2 PLANNING

### 2.1. General provisions

- 2.1.1. Planning shall start with gathering information (e.g. about the number of horses in a certain discipline, their performance at *events* and health issues). In addition, the possible doping risk and pattern shall be identified. Finally, a medication control plan shall be created.
- 2.1.2. The National Anti-Doping Agency (*NADA*) shall be responsible mainly for gathering information, carrying out monitoring and follow-up, assessing risks and developing, evaluating, adapting and updating the medication control plan.
- 2.1.3. *NADA* shall seek to ensure that horse trainers and owners or other persons with a conflict of interests are not involved in organizing *tests* for their horses, if the controls lie within the responsibility of *NADA*, nor in the procedure for selecting horses to be tested.

### 2.2. Requirements for organizing tests

- 2.2.1. The medication control plan shall be based on a reasoned assessment of doping and possible doping patterns in the Olympic and Paralympic disciplines.
- 2.2.2. *NADA* shall assess the possible doping risk and pattern on the basis of the following information:
  - (a) the physical demands of the sport and the possible performance-enhancing effect that doping may elicit;
  - (b) available doping analysis statistics;
  - (c) available research on doping trends;
  - (d) the history of doping in this sport;
  - (e) training times and event calendar;
  - (f) information on possible doping practices.
- 2.2.3. *NADA* shall develop and draft a medication control plan on the basis of
  - (a) the information referred to in Article 2.2.2;
  - (b) the number of horses in the individual disciplines;

- (c) the event calendar and team activities; and
  - (d) the evaluation of the results of previous medication control plans.
- 2.2.4. *NADA* shall decide how it will distribute tests among the different horses in its area of responsibility.
- 2.2.5. *NADA* shall independently determine the time of *testing*. It shall not have to justify its choice.
- 2.2.6. Save in exceptional and justifiable circumstances, all *tests* shall be without advance notice.

### **2.3. Requirements for selecting the horses to be tested**

- 2.3.1. *NADA* shall select horses for *target testing*, thus implementing the medication control plan. A horse may be tested on more than one occasion during the day.
- 2.3.2. Based on a reasonable assessment of doping risks, *NADA* shall ensure that a significant number of the tests scheduled in the medication control plan are *target tests*. The criteria for selecting the horse to be tested may include, but are not limited to,
- (a) abnormal biological parameters (blood parameters, steroid profiles, etc.);
  - (b) injury;
  - (c) withdrawing from or missing an *event*;
  - (d) going into or coming out of retirement;
  - (e) sudden major improvements in performance;
  - (f) repeated unsuccessful testing attempts;
  - (g) previous *testing* of the horse;
  - (h) reinstatement after a period of *ineligibility* of the horse;
  - (i) financial incentives for improved performance, such as prize money or sponsorship opportunities;
  - (j) association of the *person responsible* or *designated representative* for the horse with a third party such as coach or doctor with a history of involvement in doping;

(k) reliable information from a third party.

2.3.3. *NADA* and/or *medication control personnel* shall ensure that horse selection decisions are disclosed only to those who need to know.

## 2.4. Definition of the testing pool

2.4.1. All horses of the national team participating in the Olympic and Paralympic disciplines of dressage, jumping and eventing (A, B1 and C teams of the DOKR) and para-dressage (Federal team of the German association of disabled sports in para-dressage) shall be subject to *out-of-competition testing*.

2.4.2. A list of the *testing pool* horses and their associated *riders* is provided to *NADA* once every year by the DOKR without delay. The time of new appointments shall be reported to *NADA* in advance. The member list shall be valid immediately, i.e. from compilation. When the team is updated, *NADA* shall be informed in writing without delay.

2.4.3. As soon as a *rider* is no longer a member of the national team, his/her horse shall also no longer belong to the *testing pool*.

2.4.4. As soon as a horse is no longer member of the national team, it shall also no longer belong to the *testing pool*.

2.4.4. If a horse cannot participate in *events* for health reasons, it shall nevertheless remain in the *testing pool*.

2.4.5. If a horse is sold and the *rider* changes, the horse shall be removed from the *testing pool* on the day of sale.

2.4.6. If the horse leaves the national team rider's responsibility temporarily (four weeks or more) for reproduction purposes, association of the horse with the testing pool shall be in abeyance.

## 2.5. Planning the test

2.5.1. The rider shall indicate the location of the horse and the *rider's* address when he joins to the team. This is done via the contact form that is mailed, emailed to [pferd@nada.de](mailto:pferd@nada.de) or faxed to *NADA*.

2.5.2. The horses' times of absence (from the locations referred to in Article 2.5.1) due to national *events* shall be registered on the *FN's* website *NeOn*.

DOKR shall provide *NADA* with copies of all entries at international *events* abroad (including any changes).

If the *FEI* manages entries through an online system, *NADA* shall be given access to retrieve the required information.

- 2.5.3. DOKR shall notify *NADA* well in advance and in writing of the dates of team activities and DOKR training courses, including all participants and their horses. Apart from this, DOKR shall inform *NADA* when the association with the testing pool purs. to 2.4.7 is in abeyance. For horses that belong to the national team of the German disabled sports association (DBS) in para-dressage, these notifications shall be submitted by the DBS
- 2.5.4. The assignment shall be forwarded to *NADA*-accredited *medication control personnel* carrying out the *test* in line with the *standard for out-of-competition testing*.



## **ARTICLE 3 NOTIFICATION OF THE PERSON RESPONSIBLE OR DESIGNATED REPRESENTATIVE FOR THE HORSE TO BE TESTED**

### **3.1. General provisions**

Notification of the *person responsible* or *designated representative* for the horse to be tested shall start when *NADA* initiates the notification procedure for the selected horse and shall end when *sample collection* begins or when *NADA* is notified of a possible violation by the *person responsible* or *designated representative* for the horse.

3.1.1. The following shall apply to notifications:

- (a) The *person responsible* or *designated representative* for the horse shall be the *rider*, driver, lunger, vaulter, groom, possessor or owner.
- (b) The *medication control personnel* shall travel to the place where the horse to be tested is located according to *NADA*.
- (c) The *medication control personnel* shall notify the *person responsible* or *designated representative* for the horse to be tested in line with the specified hierarchy of contact persons (cf. item 3.2.6).
- (d) If the first person is not available, they shall contact the next person in that hierarchy.

3.1.2. Notification shall mean in particular:

- (a) introducing the *medication control personnel* (*DCO* and *veterinarian*);
- (b) informing the *person responsible* or *designated representative* for the horse to be tested about the selection for *sample collection* and about his/her rights and responsibilities;
- (c) locating the horse and confirming its identity;
- (d) escorting the horse from the delivery of the notification until start of *sample collection* (mandatory);
- (e) documenting the notification, or notification attempt.

### **3.2. Requirements prior to the notification of the person responsible or designated representative for the horse to be tested**

- 3.2.1. Notification of *sample collection* shall be without advance notice.
- 3.2.2. *NADA* shall appoint and authorize *medication control personnel* to conduct or assist with *sample collection*. The personnel shall fulfil the requirements specified in Annex D and shall not have a conflict of interest in the outcome of the *sample collection*.

The *medication control personnel* shall always be one *DCO* and one *veterinarian*.

- 3.2.3. *Medication control personnel* shall have official authorization documentation that is provided and controlled by *NADA*. Such documentation shall identify the *medication control personnel* by name. *Medication control personnel* shall also carry complementary identification which includes their name and photograph (i.e. ID card, driver's licence, passport or similar valid identification) and the expiry date of the identification.
- 3.2.4. The *medication control personnel* shall verify the identity of the *person responsible* or *designated representative* for the horse to be tested using a photo ID card and record this in writing.

The *veterinarian* shall verify the identity of the selected horse using its passport. Identification of the horse by checking its markings and the description shall be recorded in the medication control documentation. If the horse cannot be identified with its passport, the procedure specified in Annex F shall apply.

- 3.2.5. *NADA* shall establish the location of the selected horse and plan the approach and timing of notification, taking into consideration the specific circumstances of the training session and the situation in question.
- 3.2.6. The *person responsible* shall specify a hierarchy of contact persons for his/her horse. For this purpose, the *person responsible* shall provide *NADA* with the names and telephone numbers of two (but no more than five) persons whom *medication control personnel* may contact in case of his/her absence.

The contact persons must meet the following prerequisites:

- (a) experience in handling horses
- (b) knowledge of the current location of the horse
- (c) knowledge of the location (the stables or riding facility)

- (d) knowledge of the location of the equine passport und treatment book
- (e) age of maturity
- (f) language skills in German or English
- (g) taking along an official picture ID

This notification shall be made every year after the team is newly assembled and applies to all riders. The riders who were already members of the team are emailed their submitted contact data by *NADA* and must check them for accuracy and report back to *NADA*. The contact form must be submitted to *NADA* within two weeks of new assembly of the teams.

*NADA* shall be notified of updates without delay in writing or via email to [pferd@nada.de](mailto:pferd@nada.de).

- 3.2.7. The contact persons specified by the *person responsible* pursuant to 3.2.6 shall be *bedesignated representatives*. They shall be vicarious agents within the meaning of Section 278 of the Civil Code (BGB) so that the *person responsible* may be held liable for their faults. The *person responsible* informs the *designated representative* of its rights and obligations before submitting the contact data to *NADA*.

### 3.3. Requirements for notifying the person responsible or designated representative for the horse to be tested

3.3.1. If first contact has been established, the *medication control personnel* shall ensure that the *person responsible* or *designated representative* for the horse to be tested is informed

- (a) of the fact that the horse must be available for *sample collection*;
- (b) that *NADA* is responsible for carrying out *sample collection*;
- (c) of the type of *sample collection* and any conditions that need to be adhered to prior to and during the *sample collection*;
- (d) of the rights of the *person responsible* or *designated representative* for the horse to be tested, including the right to
  - (i) be accompanied by another person;
  - (ii) ask for additional information about the *sample collection* process;
- (e) of the responsibilities of the *person responsible* or *designated representative* for the horse to be tested, including the responsibility to
  - (i) keep the horse under direct observation of the *medication control personnel* from the time the notification is personally delivered by the *medication control personnel* until the end of the *sample collection* process;
  - (ii) produce identification in accordance with 3.2.4; and
  - (iii) participate in the *testing* procedure;
  - (iv) not leave the testing site as *responsible* or *designated representative*.
- (f) of the *testing area*; it shall take place in the horse's own loose box bedded with fresh straw if dedicated testing boxes are not available.

3.3.2. As soon as the personal notification has been delivered, the *medication control personnel* shall be obliged to

- (a) keep the horse under direct observation from the time the notification is personally delivered until the end of the *sample collection* process;

- (b) have the *person responsible* or *designated representative* for the horse produce identification in accordance with 3.2.4;
- (c) confirm the horse's identity as per the criteria established in Article 3.2.4; and
- (d) document and report to *NADA* the confirmation of the horse's identity by any other method, or failure to confirm the identity.

3.3.3. In cases where the horse's identity cannot be confirmed as per the criteria established in Article 3.2.4, *NADA* shall communicate this to the *FN/DOKR*. The latter shall examine whether the *ADMR* may have been violated.

3.3.4. The *medication control personnel* shall ask the *person responsible* or *designated representative* for the horse to be tested to sign a form confirming receipt and acceptance of the notification.

If the *person responsible* or *designated representative* for the horse to be tested refuses to sign that he/she has been notified, or evades the notification, the *medication control personnel* shall, if possible, inform the *person responsible* or *designated representative* of the consequences of refusing *testing* or failing to comply.

When possible, the *medication control personnel* shall continue to collect a sample. The *medication control personnel* shall document the facts in a detailed report and report the circumstances to *NADA*. *NADA* shall submit this report to the *FN/DOKR* (responsible unit: legal office).

3.3.5. The *medication control personnel* may at their discretion consider any reasonable third party requirement or any request by the *person responsible* or *designated representative* for the horse to be tested for permission to delay *sample collection* and/or to leave the *testing area* temporarily following acknowledgement and acceptance of notification.

They may grant such permission if the horse can be continuously chaperoned and kept under direct observation during the delay and if the request relates to the following activities:

- (a) finding an accompanying person;
- (b) concluding a training session and grooming after riding;
- (c) obtaining necessary medical treatment; or
- (d) organizing or procuring identification of the selected horse and the *person responsible* or *designated representative*, if this requires more time than usual.

- 3.3.6. The *medication control personnel* shall document any reasons for delay in *sample collection* and/or reasons for the *person responsible* or *designated representative* and/or the horse to leave the *testing area* that may require further investigation by *NADA*. Any failure of the horse to remain under constant observation shall also be recorded.
- 3.3.7. The *medication control personnel* shall reject a request for delay from a *person responsible* or *designated representative* for the horse to be tested if it will not be possible for the horse to be continuously chaperoned.
- 3.3.8. If the *person responsible* or *designated representative* for the horse to be tested delays reporting the horse to the *testing area* other than in accordance with Article 3.3.5, the *medication control personnel* shall report a possible failure to comply. If at all possible, the personnel shall proceed with collecting a sample, and shall document the details of the delay in the horse being reported to the *testing area*.
- 3.3.9. If, while keeping the horse under observation, *medication control personnel* observe any matter with potential to compromise the *test*, the circumstances shall be documented. The *medication control personnel* shall consider whether it is appropriate to immediately collect an additional sample from the horse.

## ARTICLE 4 PREPARING FOR THE SAMPLE COLLECTION SESSION

### 4.1. General provisions

Preparing for the *sample collection* session shall start with establishing a system for obtaining relevant information for conducting the session effectively and end when it is confirmed that the *sample collection equipment* conforms to the specified criteria.

Preparation shall include:

- (a) systematically recording information for *sample collection*;
- (b) ensuring that the place of *sample collection* meets the minimum criteria prescribed in Article 3.3.1 (f); and
- (c) ensuring that the *medication control personnel*, the *person responsible* or *designated representative* for the horse to be tested and an accompanying person, as needed, are present.

### 4.2. Requirements for preparing for the sample collection session

- 4.2.1. *NADA* shall ensure that the *sample collection* session can be conducted effectively.
- 4.2.2. *NADA* shall only use *sample collection equipment* systems which, at a minimum, meet the following criteria. They shall
  - (a) have a numbering system incorporated into all bottles, containers, tubes or other items used to seal the sample;
  - (b) have a sealing system that is tamper-evident;
  - (c) ensure the identity of the tested horse is not evident from the equipment itself; and
  - (d) ensure that all equipment is clean and sealed prior to use.
- 4.2.3. *NADA* shall record the *chain of custody* for the samples and *sample collection* documentation which includes confirming that both the samples and *sample collection* documentation have arrived at their intended destinations.
- 4.2.4. The *medication control personnel* shall document extracts from the medication *logbook* which gives an account of all medical treatments and applications of at least the last twelve weeks.

The *medication control personnel* shall ask the *person responsible* or *designated representative* about any recent veterinary treatments that have not yet been recorded in the *logbook*.

If available at the time of *testing*, the treating *veterinarian* shall be given the opportunity to complete the *logbook* prior to documentation by the *medication control personnel*. If the treating *veterinarian* is not available, the *medication control personnel* shall record any information provided by the *person responsible* or *designated representative* about recent veterinary treatments on the *medication control form*.

Suitable documentation methods are photocopies or digital photographs.

The documents, including the control forms, shall be immediately submitted to *NADA* by email to [pferd@nada.de](mailto:pferd@nada.de), by fax or by mail. *NADA* shall submit these documents to the *FN/DOKR* (responsible unit: department for veterinary medicine).



## ARTICLE 5 CONDUCTING THE SAMPLE COLLECTION SESSION

### 5.1. General provisions

The *sample collection* session shall start with defining overall responsibility for the conduct of the *sample collection* session and end once the *sample collection* documentation is complete.

A session shall include:

- (a) preparing to collect the sample;
- (b) collecting and securing the sample; and
- (c) documenting the *sample collection*.

### 5.2. Requirements prior to sample collection

- 5.2.1. *NADA* shall be responsible for the overall conduct of the *sample collection* session, with specific responsibilities delegated to the *medication control personnel*.
- 5.2.2. The *DCO* shall be responsible for the overall organization and written documentation of the *medication control*. The *veterinarian* shall be responsible for identifying the horse to be tested, collecting the sample and handling all veterinary care issues.
- 5.2.3. The *medication control personnel* shall ensure that the *person responsible* or *designated representative* for the horse to be tested has been informed of his/her rights and responsibilities as specified in Article 3.3.1.
- 5.2.4. If the *medication control personnel* allow the *person responsible* or *designated representative* for the horse to be tested to remove the horse from the *testing area*, the time of return (or return upon completion of an agreed activity) shall be agreed and recorded including reasons for the horse's removal.
- 5.2.5. The horse shall be removed from the *testing area* only with the consent and under the constant observation of the *medication control personnel*.
- 5.2.6. The *medication control personnel* shall document the actual time of the horse's departure and return.

### 5.3. Requirements for sample collection

- 5.3.1. The *veterinarian* shall collect the sample from the horse according to the following protocol/s for the specific type of *sample collection*:
- (a) Annex B: Collection of blood samples
  - (b) Annex C: Collection of urine samples
- 5.3.2. All behaviour by the *person responsible* or *designated representative* for the horse to be tested and/or persons associated with the horse and any anomalies with potential to compromise the *sample collection* shall be recorded in detail by the *medication control personnel*. *NADA* shall forward this information to the *FN/DOKR* (responsible unit: legal office), as necessary, which shall decide on disciplinary proceedings pursuant to Article 8.1.1. of the *ADMR*.
- 5.3.3. If there are doubts as to the origin or authenticity of the sample, an additional sample shall be collected. If the *person responsible* or *designated representative* for the horse to be tested refuses to provide an additional sample, the *medication control personnel* shall document in detail the circumstances of the refusal, and *NADA* shall forward this information to the *FN/DOKR* (responsible unit: legal office) which shall decide about disciplinary proceedings pursuant to Article 8.1.1. of the *ADMR*.
- 5.3.4. The *medication control personnel* shall provide the *person responsible* or *designated representative* for the horse to be tested with the opportunity to document any concerns he/she may have about how the *sample collection* session was conducted.
- 5.3.5. In conducting the *sample collection* session the following information shall be recorded as a minimum:
- (a) documentation of the original *logbook*, at least for the last twelve weeks;
  - (b) place, date and time of notification;
  - (c) date and time of sampling;
  - (d) name of the tested horse;
  - (e) *FEI* passport number and life number of the tested horse;
  - (f) sex and age of the tested horse;
  - (g) description of the tested horse;

- (h) microchip number or documentation for a hair/blood sample of the tested horse (cf. Annex F);
- (i) name, address, phone number, type of ID card and signature of the *person responsible* or *designated representative*;
- (j) name and signature of the *veterinarian* responsible for the *sample collection* session;
- (k) name and signature of the *DCO*;
- (l) sample code number;
- (m) required laboratory information on the *sample collection equipment*;
- (n) remarks about any anomalies in the process;
- (o) comments or concerns of the *person responsible* or *designated representative* regarding the conduct of the *sample collection* session, if provided; and
- (p) declaration of the *person responsible* or *designated representative* for the use of the anonymized sample(s) for research purposes;

5.3.6. At the conclusion of the *sample collection* session the *person responsible* or *designated representative* for the tested horse and the *medication control personnel* shall sign appropriate documentation to indicate their satisfaction that the documentation accurately reflects the details of the *sample collection* session, including any concerns recorded by the *person responsible* or *designated representative* for the tested horse. Other persons present who had a formal role during the horse's *sample collection* session may sign the documentation as a witness of the proceedings.

5.3.7. The *medication control personnel* shall provide the *person responsible* or *designated representative* for the tested horse with a signed copy of the records of the *sample collection* session.

## **ARTICLE 6 SECURITY AND POST-TEST ADMINISTRATION**

### **6.1. Security of samples**

All *testing* samples and documentation shall be stored in a secure place inaccessible to third parties until shipment.

### **6.2. Post-test administration**

Post-test administration shall begin when the *sample collection* session has ended and when preparation of all of the collected samples and *sample collection* documentation for transport starts.

### **6.3. Requirements for security/post-test administration**

- 6.3.1. *NADA* shall ensure that every sample is stored in a manner that protects its integrity, identity and security prior to transport from the *testing area*. The *medication control personnel* shall ensure that every sample is stored in accordance with these criteria.
- 6.3.2. *NADA* and the *medication control personnel* shall ensure that the documentation for each sample is complete and securely handled.
- 6.3.3. *NADA* shall ensure that, where required, instructions for the type of analysis to be conducted are provided to the *accredited laboratory*.
- 6.3.4. A valid owner's liability insurance must be available for the tested horses.

## ARTICLE 7 TRANSPORT OF SAMPLES AND DOCUMENTATION

### 7.1. General provisions

Transport shall start when the samples and related documentation leave the *testing area* and end with the confirmed receipt of the samples and *sample collection* documentation at their intended destinations.

The main activities shall be arranging for the secure transport of samples and related documentation to the *accredited laboratory* and arranging for the secure transport of *sample collection* documentation to *NADA*.

### 7.2. Requirements for transport and storage of samples and documentation

- 7.2.1. *NADA* shall select a transport system that ensures samples and documentation will be transported in a manner that protects their integrity, identity and security.
- 7.2.2. Samples shall always be transported to the *accredited laboratory*, using *NADA*'s selected transport method, as soon as practicable after the completion of the *sample collection* session. Samples shall be transported in a manner which minimizes the potential for sample degradation due to factors such as time delays and extreme temperature variations.
- 7.2.3. *Testing* documentation shall be submitted to the *accredited laboratory* without documentation identifying the tested horse and without identifying information on the tested person responsible.
- 7.2.4. The *medication control personnel* shall send all relevant *sample collection* documentation to *NADA* using *NADA*'s selected transport method immediately after the completion of the *sample collection* session.
- 7.2.5. The *chain of custody* shall be checked by *NADA* if receipt of either the samples with accompanying documentation or *sample collection* documentation is not confirmed at their intended destination or a sample's integrity or identity has been compromised during transport. In this instance, *NADA* shall consider whether the sample should be voided.
- 7.2.6. Documentation related to a *sample collection* session and/or a violation of the *ADMR* shall be stored by *NADA* as per *ADMR*.

## ARTICLE 8 OWNERSHIP OF SAMPLES

- 8.1. Samples collected according to the *standard for out-of-competition testing* shall be the property of the *FN/DOKR*. This shall not apply to samples taken from horses that belong to the national team of the DBS in para-dressage. They are the property of the DBS.

Negative samples shall be stored for four weeks and positive samples until the end of the disciplinary proceedings. The *FN/DOKR* and *NADA* shall be entitled to transfer individual samples into long-term storage for possible re-testing.

- 8.2. *NADA* shall notify the *FN/DOKR* (responsible unit: department for veterinary medicine) of all test results for the A and B sample, including any results that are not adverse analytical findings. This notification shall also cover substances that are not included in the list of substances and methods prohibited *out-of-competition* (list in Annex III of the *ADMR*). For samples taken from horses that belong to the national team of the DBS in para-dressage, it shall report all analysis results to the DBS additionally.

## ARTICLE 9 SAMPLE ANALYSIS AND RESULTS MANAGEMENT

- 9.1. Samples shall be analysed to detect prohibited substances and prohibited methods identified on the prohibited list in Annex III of the *ADMR*.
- 9.2. Samples shall be handled according procedures specified in the *ADMR*.
- 9.3. *NADA* shall carry out the initial examination in line with Articles 7.1.14 and 7.1.11, first paragraph, of the *ADMR*.
- 9.4. *NADA* shall notify the *FN/DOKR* (responsible unit: veterinary medicine department) of the result of the initial examination and submit the related documentation (e.g. test result, extract from the *logbook*, etc.). For samples that are taken from horses belonging to the para-dressage team of the DBS, it shall report the results to the DBS additionally in the same form.
- 9.5. The *FN/DOKR* shall carry out results management in line with Articles 7.1.14 and 7.1.11 of the *ADMR*. If it establishes that a violation of Article 2 of the *ADMR* cannot be ruled out, it shall initiate disciplinary proceedings in line with Article 8.1.1. of the *ADMR*. (functionally responsible: legal department)

**ANNEX:****A) Sample collection equipment**

<b>Category</b>	<b>Equipment</b>	<b>Quantity</b>
<b>Documentation</b>	Doping and medication control form	3
	CoC form	2
	"DCO Report" form	3
<b>Urine sampling kit</b>	Sample containers (with security caps)	2
	Gloves	1 pair
	Waterproof bags with absorbent pad	2
<b>Blood sampling kit</b>	Sample containers (with security caps)	2
	Gloves	1 pair
	Bar code labels	7
	Vacuum serum gel tubes with bar code	6
	Disinfection swabs/cloth	1
	Needles	1
	Needle holders	1
	Waterproof bags with absorbent pad	2
<b>Shipping</b>	Insulated shipping box	1
	Dispatch note for transport company	1
<b>Other</b>	Urine collection container	3
	Urine collection handle	1
	Spare set of needle and needle holder	2
	Spare set with 2 vacuum serum gel tubes each	2
	Interim sealing set	1
	Disinfectant	1
	Sharps container	1
	Waste bags	2
	Paper towel roll	1
	NADA ID card	1
	ID card	1
	Clipboard	1
Pen	2	



## **B) Collection of blood samples**

### **B.1. Scope**

At the beginning of the blood *sample collection* the *medication control personnel* shall ensure that the *person responsible* or *designated representative* for the horse to be tested is informed of the *sample collection* requirements. The collection shall end with appropriately storing the sample before sending it to the accredited lab.

### **B.2. Responsibilities**

B.2.1. The *medication control personnel* shall have the responsibility for ensuring that

- (a) each sample is properly collected, identified and sealed; and
- (b) all samples are properly stored and dispatched in accordance with the relevant analytical guidelines.

B.2.2. The *veterinarian* shall have the responsibility for collecting the blood sample, answering related questions during the provision of the sample, and proper disposal of used blood sampling equipment not required for completing the *sample collection* session.

### **B.3. Requirements**

B.3.1. When collecting the horse's blood sample, the *medication control personnel* shall ensure

- (a) consistency with relevant principles of internationally recognized standards for precautions in healthcare settings so that the health and safety of the horse to be tested and of *medication control personnel* are not compromised;
- (b) that the requirements of this standard for *out-of-competition* testing are met;
- (c) that the sample is of a quality and quantity that meets the relevant analytical guidelines;
- (d) that the sample has not been manipulated, substituted, contaminated or otherwise tampered with in any way;
- (e) that the sample is clearly and accurately identified; and

- (f) that the sample is securely sealed in a tamper-evident kit.
- B.3.2. The equipment for collecting a blood sample shall include the items listed in Annex A.
- B.3.3. The *medication control personnel* shall ensure that the *person responsible* or *designated representative* for the horse to be tested is informed of the requirements of the *sample collection*.
- B.3.4. The *medication control personnel* shall ensure that the horse is tested in a quiet area without any stress factors or uninvolved persons. The latter shall be removed.
- B.3.5. The *medication control personnel* shall instruct the *person responsible* or *designated representative* for the horse to be tested to check that the seals of the *material selected for sample collection* are intact.
- B.3.6. When the *sample collection equipment* has been selected, the *medication control personnel* and the *person responsible* or *designated representative* for the horse to be tested shall check that all code numbers match and are recorded accurately by the *medication control personnel*.
- B.3.7. If the *person responsible* or *designated representative* for the horse to be tested or the *medication control personnel* find that the code numbers do not match, the *medication control personnel* shall provide another kit for sample collection. The *medication control personnel* shall record the matter.
- B.3.8. The *veterinarian* or *medication control personnel* and the horse shall proceed to the area where the sample will be provided. The *person responsible* or *designated representative* for the horse to be tested shall hold the horse's head. Another *person* may be called to calm the horse.
- B.3.9. The *veterinarian* shall disinfect the horse's skin with a sterile pad or swab at the venipuncture site. He/she shall puncture the blood vessel and collect the venous blood in the designated tubes. If the sample collected from the horse is of insufficient volume, the procedure may be repeated twice.
- If all three attempts fail, the *veterinarian* shall terminate the collection of the blood sample and record this and the reasons for terminating the collection.
- B.3.9. The amount of blood removed shall be adequate to satisfy the relevant analytical requirements for the sample analysis to be performed. Four tubes shall be placed in sample container A and at least two tubes in sample container B (plus one back-up tube, if available), each tube containing at least 8ml of blood.
- B.3.10. The collected blood samples shall be sealed and sent to the *accredited laboratory* for analysis.

- B.3.11. The *veterinarian* shall appropriately attend to the venipuncture site.
- B.3.12. The *veterinarian* shall properly dispose of used blood sampling equipment not required for completing the *sample collection* session.
- B.3.13. The *medication control personnel* shall seal the sample in the *sample collection equipment*. The *medication control personnel* shall check, in full view of the *person responsible* or *designated representative* for the tested horse, that the sealing is satisfactory.
- B.3.14. The sealed sample shall be stored in a manner that protects its integrity, identity and security prior to transport from the *testing area* to the accredited lab.

## C) Collection of urine samples

### C.1. Scope

At the beginning of the urine *sample collection* the *medication control personnel* shall ensure that the *person responsible* or *designated representative* for the horse to be tested is informed of the *sample collection* requirements. The collection shall end with discarding any residual urine remaining at the end of the *sample collection* session and appropriately storing the sample before sending it to the Institute of Biochemistry at the German Sport University Cologne.

### C.2. Responsibilities

The *medication control personnel* shall have the responsibility for ensuring that each sample is properly collected, identified and sealed. The *veterinarian* shall collect or witness the passing of the urine sample. In addition, the *medication control personnel* shall have the responsibility for declaring the sample volume insufficient and for making further attempts, if needed, to obtain a combined sample of sufficient volume.

### C.3. Requirements

- C.3.1. When collecting the horse's urine sample, the *medication control personnel* shall ensure
- (a) consistency with relevant principles of internationally recognized standards for precautions in healthcare settings so

that the health and safety of the horse to be tested and of *medication control personnel* are not compromised;

- (b) that the requirements of this standard for *out-of-competition* testing are met;
- (c) that the sample is of a quality and quantity that meets the relevant analytical guidelines;
- (d) that the sample has not been manipulated, substituted, contaminated or otherwise tampered with in any way;
- (e) that the sample is clearly and accurately identified; and
- (f) that the sample is securely sealed in a tamper-evident kit.

C.3.2. The equipment for collecting a urine sample shall include the items listed in Annex A.

C.3.3. The *medication control personnel* shall ensure that the *person responsible* or *designated representative* for the horse to be tested is informed of the requirements of the *sample collection*.

C.3.4. the *person responsible* or *designated representative* may choose format least three kits for sample collection. The *medication control personnel* shall instruct the *person responsible* or *designated representative* for the horse to be tested to check that the seals are intact, that the *sample collection equipment* has not been tampered with and that all code numbers match. If the *person responsible* or *designated representative* for the horse to be tested is not satisfied with a selected kit, new material shall be provided.

C.3.5. The *medication control personnel* shall ensure that the horse is tested in a quiet area without any stress factors or uninvolved persons. The latter shall be removed.

C.3.6. Additional assistance may be provided in exceptional circumstances by an accompanying person or *medication control personnel* during the *sample collection* session where authorized by the *person responsible* or *designated representative* for the horse to be tested and agreed to by the *medication control personnel*.

C.3.7. The *medication control personnel* shall ensure an unobstructed view of the sample leaving the horse's body and must continue to observe the sample after provision until the sample is securely sealed, and the *medication control personnel* shall record the witnessing in writing.

- C.3.8. The *medication control personnel* shall verify, in full view of the *person responsible* or *designated representative* for the tested horse, that the suitable volume of urine for analysis has been provided.
- C.3.9. The *medication control personnel* shall pour the collected urine into the sample containers. Bottle A shall contain at least 50ml and bottle B at least 30ml of urine; the maximum volume of the bottles must be observed according to the manufacturer's information. Any remaining urine shall be discarded before the eyes of the *person responsible* or *designated representative*.
- C.3.10. If the collected urine volume is not sufficient, the procedures for collecting the sample shall be repeated until a sufficient volume of urine has been provided by combining the initial and additional sample/s. The *medication control personnel* shall wait for urination for at least 60 minutes.
- C.3.11. The *medication control personnel* shall seal the *sample collection* bottles. The *medication control personnel* shall check, in full view of the *person responsible* or *designated representative* for the tested horse, that the bottles have been properly sealed. The *person responsible* or *designated representative* for the tested horse shall check that all code numbers are recorded accurately by the *medication control personnel*.



## Medication control personnel requirements

- D.1. *Medication control personnel* permitted to collect blood samples shall
- a) have completed a veterinary degree and be licensed with the Federal Chamber of Veterinarians;
  - b) have professional experience in a general or large-animal surgery, including proven experience in equine surgery; and
  - c) have a professional risk indemnity insurance covering activities such as collecting blood and urine from horses.
- D.2. The *medication control personnel* shall have good character references. They shall not have a record in the Federal Central Criminal Register.
- D.3. They shall have a good command of English. Other foreign language skills are welcome but not mandatory.
- D.4. They shall be between 21 and 70 years of age.
- D.5. They shall have a valid driver's licence of category B or higher.
- D.6. They shall be reputable, eloquent and dressed well or appropriately for their work.
- D.7. They shall not be engaged in voluntary or official activities in the immediate context of equestrian sport of the German national associations that might cause partiality.
- D.8. They shall not have been convicted of a doping offence.
- D.9. Before becoming *medication control personnel*, the persons to be accredited shall sign a secrecy and confidentiality agreement.

**D) DOKR logbook**

According to the framework agreement for members of the national team, each horse of the national team shall have a medication *logbook* in line with the template of the *FN/DOKR* veterinary medicine department.

*Logbooks* shall be issued by the *FN*'s veterinary medicine department.



**E) Identification of the horse to be tested without passport**

If the horse's passport is not available at the time of *testing*, the description of the horse to be tested shall always be recorded in writing and in a diagram. In addition, the microchip number shall be recorded and documented or a hair or blood sample shall be collected for DNA analysis.

## F) Terms and definitions

Accredited laboratory	All samples are analysed by the Institute of Biochemistry at the German Sport University Cologne, an accredited doping analysis laboratory.
ADMR	“Anti-Doping- und Medikamentenkontrollregeln für den Pferdesport”; the FN’s Anti-Doping and Medication Control Regulations.
Chain of custody (CoC)	The verifiable sequence of processes, individuals or organizations who have the responsibility for a sample from the provision of the sample until the sample has been received for analysis.
DBS	"Deutscher Behindertensportverband" (German disabled sports association)
DCO	Doping Control Officer; an official authorized by NADA with delegated responsibility for the on-site management of a sample collection session.
Designated representative	The contact person reported by the persons responsible to NADA in hierarchical order.
DOKR	“Deutsches Olympiade-Komitee für Reiterei”; German Olympic Equestrian Committee, with headquarters in Warendorf.
Event	A national sporting competition where individuals or teams compete on their horses.
FEI	“Fédération Equestre Internationale”; the international governing body for equestrian sport, with headquarters in Lausanne (CH).
FN	“Deutsche Reiterliche Vereinigung e.V.”/“Fédération Nationale”; German Equestrian Federation, with headquarters in Warendorf.
Horse	A horse which is a member of the FN/DOKR national team’s A, B1 or C squad.
Ineligibility	Ineligibility means the rider and/or horse is barred for a specified period of time from participating in any competition or other event or funding as provided in the

	ADMR.
International event	An international sporting competition where individuals or teams compete on their horses.
Logbook	A booklet issued by the FN's veterinary medicine department, documenting all medical and therapeutic treatments for each horse.
LPO	“Leistungs-Prüfungs-Ordnung”; the FN's Rule Book.
Medication control	All steps and processes from test distribution planning through to appeals, including all steps and processes in between such as identifying the location of the horse to be tested, collecting and handling samples, analysing the samples in a laboratory and carrying out results management.
Medication control personnel	A collective term for qualified officials authorized by NADA who may carry out or assist with duties during the sample collection session.
NADA	“Nationale Anti-Doping Agentur”; Germany's national anti-doping agency, with headquarters in Bonn.
NeOn	“Nennung online”; online database for registering horses for national events.
Out-of-competition	Any time out of the event period.
Out-of-competition testing	A test conducted at any time out of the event period.
Person responsible	Rider, driver, lunger, vaulter, possessor or owner.
Rider	The person registered with the FN or the board for therapeutic riding as the horse's rider.
Sample	Any biological material collected for the purposes of medication control.
Sample collection	All of the sequential activities that directly involve the horse from entering the testing area until leaving it after having provided the sample/s.
Sample collection equipment	See table in Annex A.
Standard for out-of-competition testing	Provisions implementing the ADMR; standard for out-of-competition equine medication control

Suitable volume of urine	At least 80ml urine, of which 50ml in bottle A and 30ml in bottle B, shall be sent to the accredited laboratory for analysis.
Target testing	Selection of horses for testing in which specific horses or groups of horses are selected on a non-random basis for testing at a specified time.
Testing area	The horse's own loose box bedded with fresh straw (if dedicated testing boxes are not available) and its immediate surroundings.
Testing pool	List of all horses in the national team's A, B1 or C squad for the Olympic disciplines of jumping, dressage and eventing and the horses from the para-dressage team of the DBS.
Testing/Test	The parts of the controlled medication process involving test distribution planning, sample collection, sample handling, and sample transport to the accredited laboratory.
Veterinarian	Any person who has received a formal veterinary qualification and whom NADA tasked with collecting blood samples from the horse to be tested.
WADA	The World Anti-Doping Agency, with headquarters in Montreal (CAN).