

WADA Audit report – Introduction

A full audit of UK Anti-Doping (UKAD) was conducted virtually on 20, 21, 22 and 27 April 2021. The purpose of the audit was for WADA to work in a collaborative manner with UKAD to assess its anti-doping program with the objective of providing assistance and guidance to UKAD where any enhancements to its program were necessary under the World Anti-Doping Code (Code).

Therefore, the objective of this Corrective Action Report (CAR) and Corrective Action Plan (CAP) is to provide UKAD with clear and helpful corrective actions to assist with the further development of its anti-doping program in a prioritized manner which is in line with the Code and the International Standards.

Background to the Audit

The audit was proposed by WADA's internal Compliance Taskforce and endorsed by the Compliance Review Committee (CRC) based on the monitoring process outlined in the International Standard for Code Compliance by Signatories (ISCCS), specifically Articles 8.2.1 and 8.2.2. WADA notified UKAD of the audit on 20 January 2021, and on 4 February 2021 UKAD responded to the notification and audit dates were subsequently agreed upon.

To assist UKAD with the audit preparations, the Lead Auditor communicated with UKAD via email and on 4 March 2021 held a teleconference to discuss the objectives of the audit, the audit plan, logistical details, teleconferencing tools, etc. A draft audit plan was reviewed with UKAD during this teleconference, then shared via email and finalized and formally issued on 13 April 2021.

Methodology

To prepare for this audit, the audit team used data held by WADA, including in ADAMS and the legal database, as part of its review of UKAD's anti-doping program. Furthermore, WADA requested that UKAD provide a number of documents (i.e., Annex B of the Notification). UKAD provided all documents as requested and this was extremely helpful to the audit team.

From the discussions and review of documents provided by UKAD ahead of the audit and during the audit, it was apparent that UKAD had prepared for the audit and was open in the discussions. Staff and documents were available to the audit team during the audit and this was greatly appreciated.

General Observations and Acknowledgements

While this audit report presents the findings raised by the audit team and the associated corrective actions, there are very few findings to report on. Given the quality of the antidoping program observed during this audit, the audit team wanted to highlight the numerous strengths of UKAD as an organization and of its anti-doping program.

1. It is the view of the audit team that UKAD is a high functioning and performing National Anti-Doping Organization (NADO), with extremely competent, dedicated, and passionate staff. The organization is well managed, well organized, and well resourced (from the Board, the committees and commissions that are in place, to the Executive Team and all the teams/staff). UKAD demonstrated that there is a clear separation between its operational activities and its oversight/strategic activities. UKAD also has a process in place to monitor its National Governing Bodies' (NGBs) compliance in terms of antidoping, an area which will be further enhanced through its Assurance Framework (included in the revised and recently adopted National Anti-Doping Policy).
2. From a Testing perspective, the audit team would like to congratulate UKAD on, not only the comprehensive planning process in place but also on the implementation. Throughout the various areas in Testing (i.e., Risk Assessment, Test Distribution Planning, Whereabouts, Athlete Biological Program (ABP), Sample Collection Personnel, Sample Retention and Further Analysis, etc.), the planning in place not only meets the requirements of the International Standard for Testing and Investigations (ISTI) but is very thorough and collaborative (within the organization and with other Anti-Doping Organizations) in its approach. As an example, the Risk Assessment (i.e., Categorization Process) conducted includes expertise and knowledge from different teams such as Testing, Education, Science & Medicine, Intelligence, etc. In addition to this collaborative approach, the audit team notes the numerous systems that UKAD has in place that allow them to be proactive and react quickly to information received. The audit team would like to highlight two examples: 1) the monitoring of athletes' whereabouts information where UKAD reviews in greater detail information provided by certain athletes to ensure there are no trends of suspicious activities and if there are, information is promptly provided to the Testing or the Intelligence team (as appropriate) for follow-up and; 2) the ABP system/database developed by UKAD which allows them to review ABP information, APMU recommendations, prepare athlete specific testing plans and as importantly, react quickly to ABP related information (e.g., adding an analysis on a sample already collected, planning follow-up target tests on an athlete, etc.).

3. From an Intelligence and Investigations perspective, the audit team notes the expertise and efficiency of the team in place with well documented policies, procedures and processes as well as an online system (i.e., D3) allowing for the management of a high volume of information received and processed. Again, the audit team would like to note the collaborative approach in place which ensures that information remains confidential when it needs to be while also allowing proper follow-up and actioning. From what the audit team observed during the audit, it is not surprising that UKAD is a leading NADO in this area.
4. From an Education perspective, the audit team wishes to highlight the comprehensive education plan and strategy that are in place, all taking into account the new requirements outlined in the International Standard for Education. Through an extensive partnership network, and after a thorough environment analysis as well as a prioritization policy, UKAD is also able to include in its Education Pool, groups that are beyond its direct influence (e.g., primary and secondary students, parents, etc.). The education program in place is excellent and the discussions during the audit were very engaging.
5. From a Therapeutic Use Exemption (TUE) perspective, the program is very well managed ensuring that operations are as efficient as possible and that all required timelines are implemented. The information on UKAD's website is very good and the audit team thought that the panel that was created to assess any requests related to International Standard for Therapeutic Use Exemptions (ISTUE) Article 4.3 is yet another example of UKAD's proactivity.
6. From a Results Management perspective, there are a number of clear processes and procedures in place with experienced and committed staff managing this area. The discussions that took place were very rich and the audit team noted several best practices in place such as the fact that doc packs are reviewed for every case within 2-3 working days.
7. From a data privacy perspective, the audit team notes yet another area that is well organized, where all the necessary processes and procedures are clearly documented and where retention practice are embedded into UKAD's systems and working practices. The audit team believes UKAD is a leading NADO in this area.

Finally, while this has been mentioned already, the audit team was impressed by the ingrained collaborative style it witnessed as well as the proactive approach to innovation

which seemingly ensures that UKAD's processes and procedures are robust and that its program areas are as contemporary as can be.

The audit team sincerely thanks Ms. Nicole Sapstead, Chief Executive and the staff at UKAD, in particular Mr. Hamish Coffey, Deputy Head of Operations for their cooperation and engagement throughout the audit. The audit team also wishes to acknowledge and thank Mr. Samuel Pool, 2021 Code Implementation Project Manager, who, while he did not participate in audit sessions, ensured that the audit team received all the requested documentation ahead of time. The audit team would also like to acknowledge the presence of Mr. Trevor Pearce, Chairman of the Board at the closing meeting.

The audit team (and WADA) looks forward to assisting UKAD with the implementation of the corrective actions listed in this report in accordance with the timeframes listed herein.

Issued on May 20, 2021 13:27 GMT by Karine Henrie