



## ASSOCIATION OF RACING COMMISSIONERS INTERNATIONAL

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### RCI SETS RULES FOR SUSPENDED TRAINERS

The Association of Racing Commissioners International approved changes to existing model rules that will do everything from crack down on suspended trainers transferring horses to family members or close associates during their time of suspension to requiring trainers to request split samples of TCO2 testing at the original time of testing.

The rules were approved by the full RCI membership during a meeting at the Lexington Hilton Downtown Hotel and Conference Center April 23.

Trainers who have been suspended more than 30 days are now required to notify their owners of the suspension and can not have any contact with their horses or office personal during their time of suspension.

Also during the meeting, the model rules committee recommended a uniform TCO2 testing rule and split sample procedure to set the regulatory threshold at 37.0 millimoles per liter of plasma/serum. Blood samples must be tested within 120 hours and tested using standardized, reproducible, validated procedures.

In addition, the membership also approved rules related to the veterinarian's list; official veterinarian duties; traction device definition; microchips and freeze brands; horseshoe inspector duties; transfer of ownership; horse registration certificates; transfer of claimed horses; and weight penalties.

The membership chose to defer action on the approved type and rating of safety vests worn by any person mounted on a horse or stable pony and anyone handling a horse in the starting gate until the July 31 meeting at Del Mar. A committee was formed to further research the ratings of safety vests in order to approve the safest vests possible for all riders.

The full-text model rules can be found on the ARCI Web Site at [www.arci.com](http://www.arci.com). The model rules that were updated are included as an attachment with this release.

### **ARCI-011-020 Medications and Prohibited Substances**

Upon a finding of a violation of these medication and prohibited substances rules, the stewards shall consider the classification level of the violation as listed in at the time of the violation in the Uniform Classification Guidelines of Foreign Substances as promulgated by the Association of Racing Commissioners International and impose penalties and disciplinary measures consistent with the recommendations contained therein. The stewards shall also consult with the official veterinarian to determine if the violation was a result of the administration of a therapeutic medication as documented in a veterinarian's Medication Report Form received per ARCI-011-010 (C). The stewards may also consult with the laboratory director or other individuals to determine the seriousness of the laboratory finding or the medication violation. Penalties for all medication and drug violations shall be investigated and reviewed on a case by case basis. Extenuating factors include, but are not limited to:

- (1) The past record of the trainer, veterinarian and owner in drug cases;
- (2) The potential of the drug(s) to influence a horse's racing performance;
- (3) The legal availability of the drug;
- (4) Whether there is reason to believe the responsible party knew of the administration of the drug or intentionally administered the drug ;
- (5) The steps taken by the trainer to safeguard the horse;
- (6) The probability of environmental contamination or inadvertent exposure due to human drug use;
- (7) The purse of the race;
- (8) Whether the drug found was one for which the horse was receiving a treatment as determined by the Medication Report Form;
- (9) Whether there was any suspicious betting pattern in the race, and;
- (10) Whether the licensed trainer was acting under the advice of a licensed veterinarian.

As a result of the investigation, there may be mitigating circumstances for which a lesser or no penalty is appropriate for the licensee and aggravating factors, which may increase the penalty beyond the minimum.

#### **A. Uniform Classification Guidelines**

The following outline describes the types of substances placed in each category. This list shall be publicly posted in the offices of the official veterinarian and the racing secretary.

##### **(1) Class 1**

Opiates, opium derivatives, synthetic opioids, psychoactive drugs, amphetamines and U.S. Drug Enforcement Agency (DEA) scheduled I and II drugs. Also found in this class are drugs which are potent stimulants of the nervous system. Drugs in this class have no generally accepted medical use in the racehorse and their pharmacological potential for altering the performance of a race is very high.

##### **(2) Class 2**

Drugs in this category have a high potential for affecting the outcome of a race. Most are not generally accepted as therapeutic agents in the racehorse. Many are products

intended to alter consciousness or the psychic state of humans, and have no approved or indicated use in the horse. Some, such as injectable local anesthetics, have legitimate use in equine medicine, but should not be found in a racehorse. The following groups of drugs are in this class:

- (a) Opiate partial agonists, or agonist-antagonists;
- (b) Non-opiate psychotropic drugs, which may have stimulant, depressant, analgesic or neuroleptic effects;
- (c) Miscellaneous drugs which might have a stimulant effect on the central nervous system (CNS);
- (d) Drugs with prominent CNS depressant action;
- (e) Antidepressant and antipsychotic drugs, with or without prominent CNS stimulatory or depressant effects;
- (f) Muscle blocking drugs which have a direct neuromuscular blocking action;
- (g) Local anesthetics which have a reasonable potential for use as nerve blocking agents (except procaine); and
- (h) Snake venoms and other biologic substances, which may be used as nerve blocking agents.

(3) Class 3

Drugs in this class may or may not have an accepted therapeutic use in the horse. Many are drugs that affect the cardiovascular, pulmonary and autonomic nervous systems. They all have the potential of affecting the performance of a racehorse. The following groups of drugs are in this class:

- (a) Drugs affecting the autonomic nervous system which do not have prominent CNS effects, but which do have prominent cardiovascular or respiratory system effects (bronchodilators are included in this class);
- (b) A local anesthetic which has nerve blocking potential but also has a high potential for producing urine residue levels from a method of use not related to the anesthetic effect of the drug (procaine);
- (c) Miscellaneous drugs with mild sedative action, such as the sleep inducing antihistamines;
- (d) Primary vasodilating/hypotensive agents; and
- (e) Potent diuretics affecting renal function and body fluid composition.

(4) Class 4

This category is comprised primarily of therapeutic medications routinely used in racehorses. These may influence performance, but generally have a more limited ability to do so. Groups of drugs assigned to this category include the following:

- (a) Non-opiate drugs which have a mild central analgesic effect;
- (b) Drugs affecting the autonomic nervous system which do not have prominent CNS, cardiovascular or respiratory effects
  - (A) Drugs used solely as topical vasoconstrictors or decongestants
  - (B) Drugs used as gastrointestinal antispasmodics
  - (C) Drugs used to void the urinary bladder

- (D) Drugs with a major effect on CNS vasculature or smooth muscle of visceral organs.
- (E) Antihistamines which do not have a significant CNS depressant effect (This does not include H1 blocking agents, which are listed in Class 5);
- (c) Mineralocorticoid drugs;
- (d) Skeletal muscle relaxants;
- (e) Anti-inflammatory drugs--those that may reduce pain as a consequence of their anti-inflammatory actions, which include:
  - (A) Non-Steroidal Anti-Inflammatory Drugs (NSAIDs);
  - (B) Corticosteroids (glucocorticoids); and
  - (C) Miscellaneous anti-inflammatory agents.
- (f) Anabolic and/or androgenic steroids and other drugs;
- (g) Less potent diuretics;
- (h) Cardiac glycosides and antiarrhythmics including:
  - (A) Cardiac glycosides;
  - (B) Antirhythmic agents (exclusive of lidocaine, bretylium and propranolol); and
  - (C) Miscellaneous cardiotoxic drugs.
- (i) Topical Anesthetics--agents not available in injectable formulations;
- (j) Antidiarrheal agents; and
- (k) Miscellaneous drugs including:
  - (A) Expectorants with little or no other pharmacologic action;
  - (B) Stomachics; and
  - (C) Mucolytic agents.

(5) Class 5

Drugs in this category are therapeutic medications for which concentration limits have been established as well as certain miscellaneous agents. Included specifically are agents, which have very localized action only, such as anti-ulcer drugs and certain anti-allergenic drugs. The anticoagulant drugs are also included.

**B. Penalties**

- (1) In issuing penalties against individuals found guilty of medication and drug violations a regulatory distinction shall be made between the detection of therapeutic medications used routinely to treat racehorses and those drugs that have no reason to be found at any concentration in the test sample on race day.
- (2) The stewards or the commission will use the Racing Medication and Testing Consortium's penalty category and schedule as a starting place in the penalty stage of the deliberations for a rule violation for any drug listed in the *Association of Racing Commissioners International Uniform Classification Guidelines for Foreign Substances*.
- (3) If a licensed veterinarian is administering or prescribing a drug not listed in the *RCI Uniform Classification Guide lines for Foreign Substances* or shown in the RMTC

*Penalty Guideline Listing*, the identity of the drug shall be forwarded to the official veterinarian to be forwarded to the Racing Medication and Testing Consortium for classification.

- (4) Any drug or metabolite thereof found to be presenting a pre- or post-race sample which is not classified in the most current RCI *Uniform Classification Guidelines for Foreign Substances* shall be assumed to be a RCI Class 1 Drug and the trainer and owner shall be subject to those penalties as set forth in schedule "A" unless satisfactorily demonstrated otherwise by the Racing Medication and Testing Consortium, with a penalty category assigned.
- (5) The penalty categories and their related schedules, if applicable, shall be on the following criteria:
  - (a) Whether the drug is approved by the U.S. Food and Drug Administration for use in the horse;
  - (b) Whether the drug is approved by the U.S. Food and Drug Administration for use in any species;
  - (c) Whether the drug has any legitimate therapeutic application in the equine athlete;
  - (d) Whether the drug was identified as "necessary" by the RMTC Veterinary Advisory Committee;
  - (e) Whether legitimate, recognized therapeutic alternatives exist, and;
  - (f) The current RCI Classification of the drug.
- (6) The penalty categories "A", "B" and "C" and their related schedules for Trainers and Owners are shown in the following tables.

The following are recommended penalties for violations due to the presence of a drug carrying a Category "A" penalty and for violations of ARCI-011-015: Prohibited Practices:

<b>LICENSED TRAINER:</b>		
<b>1<sup>st</sup> offense</b>	<b>2<sup>nd</sup> LIFETIME offense in any jurisdiction</b>	<b>3<sup>rd</sup> LIFETIME offense in any jurisdiction</b>
<ul style="list-style-type: none"> <li>Minimum one-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a three-year suspension.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Minimum fine of \$10,000 or 10% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$25,000 or 25% of purse (greater of the two).</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>May be referred to the Commission for any further action deemed necessary by the Commission.</li> </ul>	<ul style="list-style-type: none"> <li>Minimum three-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of license revocation with no reapplication for a three-year period.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Minimum fine of \$25,000 or 25% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$50,000 or 50% of purse (greater of the two).</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>May be referred to the Commission for any further action deemed necessary by the Commission.</li> </ul>	<ul style="list-style-type: none"> <li>Minimum five-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of license revocation with no reapplication for a five-year period.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Minimum fine of \$50,000 or 50% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$100,000 or 100% of purse (greater of the two).</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>May be referred to the Commission for any further action deemed necessary by the Commission.</li> </ul>
<b>LICENSED OWNER:</b>		
<b>1<sup>st</sup> offense</b>	<b>2<sup>nd</sup> LIFETIME offense in owner's stable in any jurisdiction</b>	<b>3<sup>rd</sup> LIFETIME offense in owner's stable in any jurisdiction</b>
<ul style="list-style-type: none"> <li>Disqualification and loss of purse.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Horse shall be placed on the veterinarian's list for 90 days and must pass a commission-approved examination before becoming eligible to be entered.</li> </ul>	<ul style="list-style-type: none"> <li>Disqualification and loss of purse.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Horse shall be placed on the veterinarian's list for 120 days and must pass a commission-approved examination before becoming eligible to be entered.</li> </ul>	<ul style="list-style-type: none"> <li>Disqualification, loss of purse and \$50,000 fine.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Horse shall be placed on the veterinarian's list for 180 days and must pass a commission-approved examination before becoming eligible to be entered.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Referral to the Commission with a recommendation of a suspension for a minimum of 90 days.</li> </ul>

The following are recommended penalties for violations due to the presence of a drug carrying Category "B" penalty, for the presence of more than one NSAID in a plasma/serum sample, subject to the provisions set forth in ARCI-011-020 E.(1)(c) and for violations of the established levels for total carbon dioxide:

**LICENSED TRAINER:**

<b>1<sup>st</sup> offense</b> <ul style="list-style-type: none"> <li>Minimum 15-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 60-day suspension.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Minimum fine of \$500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$1,000.</li> </ul>	<b>2<sup>nd</sup> offense (365-day period) in any jurisdiction</b> <ul style="list-style-type: none"> <li>Minimum 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Minimum fine of \$1,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$2,500.</li> </ul>	<b>3<sup>rd</sup> offense (365-day period) in any jurisdiction</b> <ul style="list-style-type: none"> <li>Minimum 60-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a one-year suspension.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Minimum fine of \$2,500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$5,000 or 5% of purse (greater of the two).</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>May be referred to the Commission for any further action deemed necessary by the Commission.</li> </ul>
<b>LICENSED OWNER:</b>		
<b>1<sup>st</sup> offense</b> <ul style="list-style-type: none"> <li>Disqualification and loss of purse [in the absence of mitigating circumstances]*.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Horse must pass a commission-approved examination before becoming eligible to be entered.</li> </ul>	<b>2<sup>nd</sup> offense in stable (365-day period) in any jurisdiction</b> <ul style="list-style-type: none"> <li>Disqualification and loss of purse [in the absence of mitigating circumstances]*.</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Horse must pass a commission-approved examination before becoming eligible to be entered.</li> </ul>	<b>3<sup>rd</sup> offense in stable (365-day period) in any jurisdiction</b> <ul style="list-style-type: none"> <li>Disqualification and loss of purse, and in the absence of mitigating circumstances a \$5,000 fine.*</li> </ul> <p style="text-align: center;"><b>AND</b></p> <ul style="list-style-type: none"> <li>Horse shall be placed on the veterinarian's list for 45 days and must pass a commission-approved examination before becoming eligible to be entered.</li> </ul>

\* (The RMTC recommendation called for loss of purse to happen in absence of mitigating circumstances the Joint Model Rules Committee has made loss of purse mandatory in their proposal)

The following are recommended penalties for violations due to the presence of a drug carrying a Category "C" penalty and overages for permitted NSAIDs and furosemide: *(All concentrations are for measurements in serum or plasma.)*

<b>LICENSED TRAINER</b>	<b>Phenylbutazone (5.1-9.9 mcg/ml)</b> <b>Flunixin (21-99 ng/ml)</b> <b>Ketoprofen (11-49 ng/ml)</b> <b>Furosemide (&gt;100 ng/ml) and</b> <b>no furosemide when identified as</b>	<b>Phenylbutazone (≥10.0 mcg/ml)</b> <b>Flunixin (≥100 ng/ml)</b> <b>Ketoprofen (≥50 ng/ml) and</b> <b>CLASS C Violations</b>
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	<b>administered**</b>	
1 <sup>st</sup> Offense (365-day period) in any jurisdiction	Minimum fine of \$250 absent mitigating circumstances	Minimum fine of \$500 absent mitigating circumstances
2 <sup>nd</sup> Offense (365-day period) in any jurisdiction	Minimum fine of \$500 absent mitigating circumstances	Minimum fine of \$1,000 and 15-day suspension absent mitigating circumstances
3 <sup>rd</sup> Offense (365-day period) in any jurisdiction	Minimum fine of \$1,000 and 15-day suspension absent mitigating circumstances	Minimum fine of \$2,500 and 30-day suspension absent mitigating circumstances
<b>LICENSED OWNER</b>	<b>Phenylbutazone (5.1-9.9 mcg/ml) Flunixin (21-99 ng/ml) Ketoprofen (11-49 ng/ml) Furosemide (&gt;100 ng/ml) and no furosemide when identified as administered**</b>	<b>Phenylbutazone (≥10.0 mcg/ml) Flunixin (≥100 ng/ml) Ketoprofen (≥50 ng/ml) AND CLASS C VIOLATIONS</b>
1 <sup>st</sup> Offense (365-day period) in any jurisdiction		Loss of purse. Horse must pass commission-approved examination before being eligible to run
2 <sup>nd</sup> Offense (365-day period) in any jurisdiction		Loss of purse. If same horse, placed on veterinarian's list for 45 days, must pass commission-approved examination before being eligible to run
3 <sup>rd</sup> Offense (365-day period) in any jurisdiction		Loss of purse. Minimum \$5,000 fine. If same horse, placed on veterinarian's list for 60 days, must pass commission-approved examination before being eligible to run

- (7) The recommended penalty for a violation involving a drug that carries a Category "D" penalty is a written warning to the trainer and owner. Multiple violations may result in fines and/or suspensions
- (8) Any licensee of the commission, including veterinarians, found to be responsible for the improper or intentional administration of any drug resulting in a positive test may, after proper notice and hearing, be subject to the same penalties set forth for the licensed trainer.
- (9) The licensed owner, veterinarian or any other licensed party involved in a positive laboratory finding shall be notified in writing of the hearing and any resulting action. In addition their presence may be required at any and all hearings relative to the case.
- (10) Any veterinarian found to be involved in the administration of any drug carrying the penalty category of "A" shall be referred to the State Licensing Board of Veterinary Medicine for consideration of further disciplinary action and/or license revocation. This is in addition to any penalties issued by the stewards or the commission.
- (11) Any person who the stewards or the commission believe may have committed acts in violation of criminal statutes may be referred to the appropriate law enforcement agency. Administrative action taken by the stewards or the commission in no way prohibits a prosecution for criminal acts committed, nor does a potential criminal prosecution stall administrative action by the stewards or the commission.

Procedures shall be established to ensure that a licensed trainer is not able to benefit financially during the period for which the individual has been suspended. This includes, but is not limited to, ensuring that horses are not transferred to licensed family members.

#### **C. Medication Restrictions**

- (1) A finding by the commission approved laboratory of a prohibited drug, chemical or other substance in a test specimen of a horse is prima facie evidence that the prohibited drug, chemical or other substance was administered to the horse and, in the case of a post-race test, was present in the horse's body while it was participating in a race. Prohibited substances include:
  - (a) Drugs or medications for which no acceptable threshold concentration has been established;
  - (b) Therapeutic medications in excess of established threshold concentrations;
  - (c) Substances present in the horse in excess of concentrations at which such substances could occur naturally; and
  - (d) Substances foreign to a horse at concentrations that cause interference with testing procedures.
- (2) Except as otherwise provided by this chapter, a person may not administer or cause to be administered by any means to a horse a prohibited drug, medication, chemical or other substance, including any restricted medication pursuant to this chapter during the 24-hour period before post time for the race in which the horse is entered.

#### **D. Medical Labeling**

- (1) No person on association grounds where horses are lodged or kept, excluding licensed veterinarians, shall have in or upon association grounds which that person

occupies or has the right to occupy, or in that person's personal property or effects or vehicle in that person's care, custody or control, a drug, medication, chemical, foreign substance or other substance that is prohibited in a horse on a race day unless the product is labeled in accordance with this subsection.

- (2) Any drug or medication which is used or kept on association grounds and which, by federal or state law, requires a prescription must have been validly prescribed by a duly licensed veterinarian, and in compliance with the applicable state statutes. All such allowable medications must have a prescription label which is securely attached and clearly ascribed to show the following:
  - (a) The name of the product;
  - (b) The name, address and telephone number of the veterinarian prescribing or dispensing the product;
  - (c) The name of each patient (horse) for whom the product is intended/prescribed;
  - (d) The dose, dosage, duration of treatment and expiration date of the prescribed/dispensed product; and
  - (e) The name of the person (trainer) to whom the product was dispensed.

#### **E. Non-Steroidal Anti-Inflammatory Drugs (NSAIDs)**

- (1) The use of one of three approved NSAIDs shall be permitted under the following conditions:
  - (a) Not to exceed the following permitted serum or plasma threshold concentrations which are consistent with administration by a single intravenous injection at least 24 hours before the post time for the race in which the horse is entered:
    - (i) Phenylbutazone (or its metabolite oxyphenylbutazone) – 5 micrograms per milliliter;
    - (ii) Flunixin – 20 nanograms per milliliter;
    - (iii) Ketoprofen – 10 nanograms per milliliter.
  - (b) These or any other NSAID are prohibited to be administered within the 24 hours before post time for the race in which the horse is entered.
  - (c) The presence of more than one of the three approved NSAIDs, with the exception of Phenylbutazone in a concentration below 1 microgram per milliliter of serum or plasma or any unapproved NSAID in the post-race serum or plasma sample is not permitted. The use of all but one of the approved NSAIDs shall be discontinued at least 48 hours before the post time for the race in which the horse is entered.
- (2) Any horse to which a NSAID has been administered shall be subject to having a blood and/or urine sample(s) taken at the direction of the official veterinarian to determine the quantitative NSAID level(s) and/or the presence of other drugs which may be present in the blood or urine sample(s).

#### **F. Furosemide**

- (1) Furosemide may be administered intravenously to a horse, which is entered to compete in a race. Except under the instructions of the official veterinarian or the

racine veterinarian for the purpose of removing a horse from the Veterinarian's List or to facilitate the collection of a post-race urine sample, furosemide shall be permitted only after the official veterinarian has placed the horse on the Furosemide List. In order for a horse to be placed on the Furosemide List the following process must be followed.

- (a) After the horse's licensed trainer and licensed veterinarian determine that it would be in the horse's best interests to race with furosemide they shall notify the official veterinarian or his/her designee, using the prescribed form, that they wish the horse to be put on the Furosemide List.
  - (b) The form must be received by the official veterinarian or his/her designee by the proper time deadlines so as to ensure public notification.
  - (c) A horse placed on the official Furosemide List must remain on that list unless the licensed trainer and licensed veterinarian submit a written request to remove the horse from the list. The request must be made to the official veterinarian or his/her designee, on the proper form, no later than the time of entry.
  - (d) After a horse has been removed from the Furosemide List, the horse may not be placed back on the list for a period of 60 calendar days unless it is determined to be detrimental to the welfare of the horse, in consultation with the official veterinarian. If a horse is removed from the official Furosemide List a second time in a 365-day period, the horse may not be placed back on the list for a period of 90 calendar days.
  - (e) Furosemide shall only be administered on association grounds.
  - (f) Upon the request of the regulatory agency designee, the veterinarian administering the authorized bleeder medication shall surrender the syringe used to administer such medication which may then be submitted for testing
- (2) The use of furosemide shall be permitted under the following circumstances on association grounds where a detention barn is utilized:
- (a) Furosemide shall be administered at the direction of the official veterinarian no less than four hours prior to post time for the race for which the horse is entered.
  - (b) A horse qualified for furosemide administration must be brought to the detention barn within time to comply with the four-hour administration requirement specified above.
  - (c) The dose administered shall not exceed 500 mg. nor be less than 150 mg.
  - (d) Furosemide shall be administered by a single, intravenous injection.
  - (e) After treatment, the horse shall be required by the Commission to remain in the detention barn in the care, custody and control of its trainer or the trainer's designated representative under association and/or Commission security supervision until called to the saddling paddock.
- (3) The use of furosemide shall be permitted under the following circumstances on association grounds where a detention barn is not utilized:

- (a) Furosemide shall be administered no less than four hours prior to post time for the race for which the horse is entered.
  - (b) The furosemide dosage administered shall not exceed 500 mg. nor be less than 150 mg.
  - (c) Furosemide shall be administered by a single, intravenous injection.
  - (d) The trainer of the treated horse shall cause to be delivered to the official veterinarian no later than one hour prior to post time for the race for which the horse is entered the following information under oath on a form provided by the Commission:
    - (A) The name of the horse, racetrack name, the date and time the furosemide was administered to the entered horse;
    - (B) The dosage amount of furosemide administered to the entered horse; and
    - (C) The printed name and signature of the attending licensed veterinarian who administered the furosemide.
- (4) Test results must show a detectable concentration of the drug in the post-race serum, plasma or urine sample.
- (a) The specific gravity of post-race urine samples may be measured to ensure that samples are sufficiently concentrated for proper chemical analysis. The specific gravity shall not be below 1.010. If the specific gravity of the urine is found to be below 1.010 or if a urine sample is unavailable for testing, quantitation of furosemide in serum or plasma shall be performed;
  - (b) Quantitation of furosemide in serum or plasma shall be performed when the specific gravity of the corresponding urine sample is not measured or if measured below 1.010. Concentrations may not exceed 100 nanograms of furosemide per milliliter of serum or plasma

#### **G. Bleeder List**

- (1) The official veterinarian shall maintain a Bleeder List of all horses, which have demonstrated external evidence of exercise induced pulmonary hemorrhage from one or both nostrils during or after a race or workout as observed by the official veterinarian.
- (2) Every confirmed bleeder, regardless of age, shall be placed on the Bleeder List and be ineligible to race for the following time periods:
  - (a) First incident – 14 days;
  - (b) Second incident within 365 day period – 30 days;
  - (c) Third incident within 365 day period – 180 days;
  - (d) Fourth incident within 365-day period – barred for racing lifetime.
- (3) For the purposes of counting the number of days a horse is ineligible to run, the day the horse bled externally is the first day of the recovery period.
- (4) The voluntary administration of furosemide without an external bleeding incident shall not subject the horse to the initial period of ineligibility as defined by this policy.

- (5) A horse may be removed from the Bleeder List only upon the direction of the official veterinarian, who shall certify in writing to the stewards the recommendation for removal.
- (6) A horse which has been placed on a Bleeder List in another jurisdiction pursuant to these rules shall be placed on a Bleeder List in this jurisdiction.

#### H. Anti-Ulcer Medications

The following anti-ulcer medications are permitted to be administered, at the stated dosage, up to 24 hours prior to the race in which the horse is entered.

- (1) Cimetidine (Tagamet®) – 8-20 mg/kg PO BID-TID
- (2) Omeprazole (Gastrogard®) – 2.2 grams PO SID
- (3) Ranitidine (Zantac®) – 8 mg/kg PO BID

**COMMITTEE NOTE:** Consortium is currently discussing administration dead-line for Ranitidine.

#### I. Environmental Contaminants and Substances of Human Use

COMMITTEE NOTE: Consortium says that potential substances identified in this section will be put through the same scientific review process in order to determine whether a threshold concentration can be established.

- (1) The following substances can be environmental contaminants in that they are endogenous to the horse or that they can arise from plants traditionally grazed or harvested as equine feed or are present in equine feed because of contamination during the cultivation, processing, treatment, storage or transportation phases:
- (2) The following drugs are recognized as substances of human use and addiction and which could be found in the horse due to its close association with humans:
- (3) Regulatory thresholds have been set for the following substances.
  - (a) Caffeine – 100 nanograms of caffeine per milliliter of serum or plasma
- (4) If the preponderance of evidence presented in the hearing shows that a positive test is the result of environmental contamination or inadvertent exposure due to human drug use it should be considered as a mitigating factor in any disciplinary action taken against the affected trainer.

#### J. Androgenic-Anabolic Steroids

- (1) No AAS shall be permitted in test sample collected from racing horses except for residues of the major metabolite of **stanozolol**, **nandrolone**, and the naturally occurring substances **boldenone** and **testosterone** at concentrations less than the indicated thresholds.
- (2) Concentrations of these AAS shall not exceed the following urine threshold concentrations for total (*i.e.*, free drug or metabolite and drug or metabolite liberated from its conjugates):
  - (a) 16 $\beta$ -hydroxystanozolol (metabolite of stanozolol (Winstrol)) – 1 ng/ml in urine for all horses regardless of sex;
  - (b) Boldenone (Equipose® is the undecylenate ester of boldenone) in male horses other than geldings – 15 ng/ml in urine. No boldenone shall be permitted in geldings or female horses.

- (c) Nandrolone (Durabolin® is the phenylpropionate ester and Deca-Durabolin® is the decanoate ester)
  - (A) In geldings - 1 ng/ml in urine
  - (B) In fillies and mares – 1 ng/ml in urine
- (d) Testosterone
  - (A) In geldings – 20 ng/ml in urine
  - (B) In fillies and mares – 55 ng/ml in urine
- (3) Any other anabolic steroids are prohibited in racing horses.
- (4) Post-race urine samples must have the sex of the horse identified to the laboratory.
- (5) Any horse to which an anabolic steroid has been administered in order to assist in the recovery from illness or injury may be placed on the veterinarian's list in order to monitor the concentration of the drug or metabolite in urine. After the concentration has fallen below the designated threshold for the administrated AAS, the horse is eligible to be removed from the list.

### K. Alkalinizing Substances

The use of agents that elevate the horse's TCO<sub>2</sub> or Base excess level above those existing naturally in the untreated horse at normal physiological concentrations is prohibited. The following levels also apply to blood gas analysis:

- (1) The regulatory threshold for TCO<sub>2</sub> is 37.0 millimoles per liter of plasma/serum or a base excess level of 10.0 millimoles, and;
- (2) The decision level to be used for the regulation of TCO<sub>2</sub> is 37.0 millimoles per liter of plasma/serum plus the measurement uncertainty of the laboratory analyzing the sample, or a base excess level of 10.4 millimoles per liter of plasma/serum.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02  
 Version 1.4 to 2.0 ARCI 4/26/03 NAPRA 4/14/03: Rule topic was renumbered to ARCI-011-023  
 Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified new rule language  
 Version 3.2 to 3.3 ARCI 12/7/05: Added and modified rule language  
 Version 4.0 to 4.1 ARCI 4/26/07: Added new rule language  
 Version 4.1 to 4.15 ARCI Board of Directors meeting 12/5/2007: Amended rule language  
 Version 4.3 to 4.4 ARCI Board 12/10/08: Amended language

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### **ARCI-011-030 Physical Inspection of Horses**

#### **A. Assessment of Racing Condition**

- (1) Every horse entered to participate in an official race shall be subjected to a veterinary inspection prior to starting in the race for which it is entered.
- (2) The inspection shall be conducted by the official veterinarian or the racing veterinarian.
- (3) The agency or the association employing the examining veterinarian(s) should provide a staffing level of not less than 2 veterinarians.
- (3)(4) The trainer of each horse or a representative of the trainer must present the horse for inspection as required by the examining veterinarian. Horses presented for examination must have bandages removed; the legs must be clean. Prior to examination horses may not be placed in ice nor shall any device or substance be applied that impedes veterinary clinical assessment.
- (4)(5) The assessment of a horse's racing condition shall be based on the recommendations of the American Association of Equine Practitioners and shall include:
  - (a) Proper identification of each horse inspected;
  - (b) Observation of each horse in motion;
  - (c) Manual palpation when indicated and passive flexion of both forelimbs;
  - (d) Visual inspection of the entire horse and assessment of overall condition;
  - (d)(e) Close Clinical observation in the paddock and saddling area, during the parade to post and at the starting gate, during the running of the race, and following the race until the horse has exited the race track; and
  - (e)(f) Any other inspection deemed necessary by the official veterinarian and/or the racing veterinarian.
- (5) Every horse shall be observed by the racing veterinarian during and after the race
- (6) The official veterinarian and/or the racing veterinarian shall maintain a permanent continuing health and racing soundness record of each horse inspected.
- (7) The official veterinarian and/or the racing veterinarian are authorized access to any and all horses housed on association grounds regardless of entry status.
- (8) If, prior to starting, a horse is determined to be unfit for competition, or if the veterinarian is unable to make a determination of racing soundness, the veterinarian will recommend to the Stewards the horse be scratched.
- (9) Horses scratched upon the recommendation of the official veterinarian and/or the racing veterinarian are to be placed on the Veterinarian's List.

#### **B. Veterinarian's List**

- (1) The official veterinarian shall maintain the Veterinarian's List of all horses which are determined to be unfit to compete in a race due to illness, physical distress, unsoundness, infirmity or any other medical condition. Horses so listed are ineligible to enter to race in any jurisdiction until released by an official veterinarian or racing veterinarian.

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(2) A horse may be removed from the Veterinarian's List when, in the opinion of the official veterinarian, ~~the horse has satisfactorily recovered the capability of competing in a race~~ the condition which caused the horse to be placed on the veterinarian's List is resolved and the horse's status is returned to that of racing soundness.

(3) Horses working to be released from the Veterinarian's List are to be in compliance with ARCI-001-020 and are to be subjected to post-work biologic sample collection for laboratory confirmation or compliance.

(4) Horses may be released from the Veterinarian's List only by authorization of an official veterinarian or the racing veterinarian.

(5) Horses having generated a "positive" post race test for an RCI Class I, II, III, or IV substance shall be required to generate a negative test at the expense of the current owner prior to being entered for the first start following the positive test

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Comment [S1]:

#### C. Postmortem Examinations

- (1) The Commission may conduct a postmortem examination of any horse that is injured in this jurisdiction while in training or in competition and that subsequently expires or is destroyed. In proceeding with a postmortem examination the Commission or its designee shall coordinate with the trainer and/or owner to determine and address any insurance requirements.
- (2) The Commission may conduct a postmortem examination of any horse that expires while housed on association grounds or at recognized training facilities within this jurisdiction. Trainers and owners shall be required to comply with such action as a condition of licensure.
- (3) The Commission may take possession of the horse upon death for postmortem examination. The Commission may submit blood, urine, other bodily fluid specimens or other tissue specimens collected during a postmortem examination for analysis. Upon completion of the postmortem examination, the carcass may be returned to the owner or disposed of at the owner's option.
- (4) The presence of a prohibited substance in a specimen collected during the postmortem examination may constitute a violation.
- (5) The cost of Commission-ordered postmortem examinations, testing and disposal shall be borne by the Commission.

## **ARCI-025-030 Physical Inspection of Horses**

### **A. Assessment of Racing Condition**

- (1) Every horse entered to participate in an official race shall be subjected to a veterinary inspection prior to starting in the race for which it is entered.
- (2) The inspection shall be conducted by the official veterinarian or the racing veterinarian, or if necessary the association veterinarian.
- ~~(3) The trainer of each horse or a representative of the trainer must present the horse for inspection as required by the examining veterinarian.~~
- ~~(4)(3)~~ The assessment of a horse's racing condition ~~shall be based on the recommendations of the American Association of Equine Practitioners and~~ shall include:
  - (a) Proper identification of each horse inspected;
  - (b) Clinical Observation of each horse in motion during a warm-up mile, during the post parade, during the running of the race, and following the race until the horse has exited the race track;
  - ~~(c) Visual inspection of the entire horse and assessment of overall condition; and,~~
  - ~~(e) Manual palpation when indicated;~~
  - (d) Close observation in the paddock and saddling area, during the parade to post and at the starting gate; and
  - (e) Any other inspection deemed necessary by the official veterinarian and/or the racing veterinarian including but not limited to manual palpation and/or manipulation of the limbs.
- ~~(5) Every horse shall be observed by the racing veterinarian during and after the race~~
- ~~(6)(4)~~ The official veterinarian and/or the racing veterinarian shall maintain a permanent, continuing health and racing soundness record of each horse inspected.
- ~~(5)~~ The official veterinarian and/or the racing veterinarian are authorized access to any and all horses housed on the association grounds regardless of entry status.
- ~~(6)~~ If, prior to starting, a horse is determined to be unfit for competition, the veterinarian will recommend to the stewards the horse be scratched.
- ~~(7)~~ Horses scratched upon the recommendation of the official veterinarian and/or the racing veterinarian are to be placed on the Veterinarians' List
- ~~(7) The examining veterinarian shall inspect all of the horses in a race prior to their starting and after the finish of a race shall observe the horses upon their leaving the track.~~

### **B. Veterinarian's List**

- (1) The official veterinarian shall maintain the Veterinarians's List of all horses which are determined to be unfit to compete in a race due to illness, physical distress, unsoundness, infirmity or any other medical condition. Horses so listed are ineligible to enter to race in any jurisdiction until released by an official veterinarian or racing veterinarian.

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- (2) A horse may be removed from the Veterinarian's List when, in the opinion of the official veterinarian, ~~the horse has satisfactorily recovered the capability of competing in a race~~ the condition which resulted in the horse's placement on the Veterinarians' List is resolved and the horse's status is returned to racing soundness.
- (3) Horses participating in a qualifying race or working to be released from the Veterinarians' List are to be in compliance with ARCI-025-020 and are to be subjected to post-exercise biologic sample collection for laboratory confirmation of compliance.
- (4) Horses may be released from the Veterinarians' List only by authorization of an official veterinarian or the racing regulatory veterinarian.
- (5) Horses having generated a "positive" post-race test for a RCI Class I, II, III or IV substance shall be required to generate a negative test at the expense of the current owner prior to being entered for the first start following the positive test.

C. Postmortem Examination

- (1) The Commission may conduct a postmortem examination of any horse that is injured in this jurisdiction while in training or in competition and that subsequently expires or is destroyed. In proceeding with a postmortem examination the Commission or its designee shall coordinate with the trainer and/or owner to determine and address any insurance requirements.
- (2) The Commission may conduct a postmortem examination of any horse that expires while housed on association grounds or at recognized training facilities within this jurisdiction. Trainers and owners shall be required to comply with such action as a condition of licensure.
- (3) The Commission may take possession of the horse upon death for postmortem examination. The Commission may submit blood, urine, other bodily fluid specimens or other tissue specimens collected during a postmortem examination for analysis. Upon completion of the postmortem examination, the carcass may be returned to the owner or disposed of at the owner's option.
- (4) The presence of a prohibited substance in a specimen collected during the postmortem examination may constitute a violation.
- (5) The cost of Commission-ordered postmortem examinations, testing and disposal shall be borne by the Commission.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

Version 2.1 to 3.0: Amended and modified rule language; Rule topic was renumbered from ARCI-025-035

Version 2.1 to 3.0: Deleted Rule; Rule topic was renumbered from ARCI-025-030

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## **ARCI-006-010 General Provisions**

### **A. Racing Officials**

Officials at a race meeting include the following:

- (1) stewards;
- (2) racing secretary;
- (3) horsemen's bookkeeper;
- (4) paddock judge;
- (5) horse identifier;
- (6) clerk of scales;
- (7) jockey room custodian;
- (8) starter;
- (9) timer/clocker;
- (10) patrol judge, absent video replay equipment;
- (11) placing judge, if duty not performed by stewards;
- (12) official veterinarian;
- (13) racing veterinarian;
- (14) association-employed veterinarian
- (15) horseshoe inspector
- ~~(14)~~(16) any other person designated by the Commission.

### **B. Eligibility**

To qualify as a racing official, the appointee shall be:

- (1) of good character and reputation;
- (2) experienced in flat racing;
- (3) familiar with the duties of the position and with the Commission's rules of flat racing;
- (4) mentally and physically able to perform the duties of the job; and
- (5) in good standing and not under suspension or ineligible in any racing jurisdiction.

### **C. Approval and Licensing**

The Commission, in its sole discretion, may determine the eligibility of a racing official and, in its sole discretion, may approve or disapprove any such official for licensing.

### **D. Prohibited Practices**

While serving in an official capacity, racing officials and their assistants shall not:

- (1) participate in the sale or purchase, or ownership of any horse racing at the meeting;
- (2) sell or solicit horse insurance on any horse racing at the meeting;
- (3) be licensed in any other capacity without permission of the Commission, or in case of an emergency, the permission of the stewards;
- (4) wager on the outcome of any race under the jurisdiction of the Commission; or

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- (5) consume or be under the influence of alcohol or any prohibited substances while performing official duties.

#### **E. Report of Violations**

Racing officials and their assistants shall report immediately to the stewards every observed violation of these rules and of the laws of this state governing racing.

#### **F. Complaints Against Officials**

- (1) Complaints against any steward shall be made in writing to the Commission and signed by the complainant.
- (2) Any complaint against a racing official other than a steward shall be made to the stewards in writing and signed by the complainant. All such complaints shall be reported to the Commission by the stewards, together with a report of the action taken or the recommendation of the stewards.
- (3) A racing official may be held responsible by the stewards or the Commission for the actions of their assistants.

#### **G. Appointment**

- (1) A person shall not be appointed to more than one racing official position at a meeting unless specifically approved by the Commission.
- (2) The Commission shall appoint or approve the stewards at each race meeting.

#### **H. Approval and Licensing**

The Commission, in its sole discretion, may determine the eligibility of a racing official and, in its sole discretion, may approve or disapprove any such official for licensing.

#### **I. Appointment of Substitute Officials**

Where an emergency vacancy exists among racing officials, the stewards or the association, with the stewards' approval, shall fill the vacancy immediately. Such appointment shall be reported to the Commission and shall be effective until the vacancy is filled in accordance with these rules.

#### **J. Appointment of Substitute Steward**

Should any steward be absent at race time, and no approved alternate steward be available, the remaining stewards shall appoint a substitute for the absent steward. If a substitute steward is appointed, the Commission and the association shall be notified by the stewards.

## ARCI-006-070 Official Veterinarian

### A. General Authority

The official veterinarian shall:

- (1) be employed by the Commission or similar agency having jurisdictional authority;
- (2) be a graduate veterinarian and be licensed to practice in this jurisdiction;
- (3) be qualified to objectively and competently provide the regulatory duties described herein;
- (4) refuse employment or payment, directly or indirectly, from any horse owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the official veterinarian for the commission;
- (5) refrain from directly treating or prescribing for any horse under his/her jurisdiction except in cases of emergency, accident or injury;
- (6) have no employment history or business relationship prior to employment as the official veterinarian that could constitute a conflict of interest or impede in the performance of official duties.

### B. Responsibilities

Should the Commission be unable to provide adequate veterinary staffing to fulfill the duties described below, some of the official veterinarian responsibilities, as indicated by an asterisk (\*), may be shared with or deferred to, an association-employed veterinarian. The association-employed veterinarian is responsible for adhering to and upholding the rules and regulations of the commission and shall be accountable to the commission.

The official veterinarian shall:

- ~~(3)~~(1) \* recommend to the stewards any horse deemed unsafe to be raced, or a horse that it would be inhumane to allow to race;
- (2) \* conduct pre-race inspections on all potential starters on race day;
- (3) \* inspect any horse when there is a question as to the physical condition of such horse independent of the horse's entry status;
- (4) \* be present in the paddock during saddling, on the racetrack during the post parade and at the starting gate until the horses are dispatched from the starting gate for the race;
- (5) \* recommend to the stewards the scratching of any horse that is, in the opinion of the official veterinarian, injured, ill, or otherwise unable to compete due to a medical or health-related condition;
- (6) \* inspect any horse which appears in physical distress during the race or at the finish of the race; and shall report such horse together with his/her opinion as to the cause of the distress to the stewards and to the official veterinarian, if the inspection was done by either the racing veterinarian or an association-employed veterinarian;
- (7) \* provide emergency medical care to horses injured racing and effect case transfer to the practicing veterinarian;
- (8) \* be authorized to humanely destroy any horse deemed to be so seriously injured that it is in the best interests of the horse to so act; and

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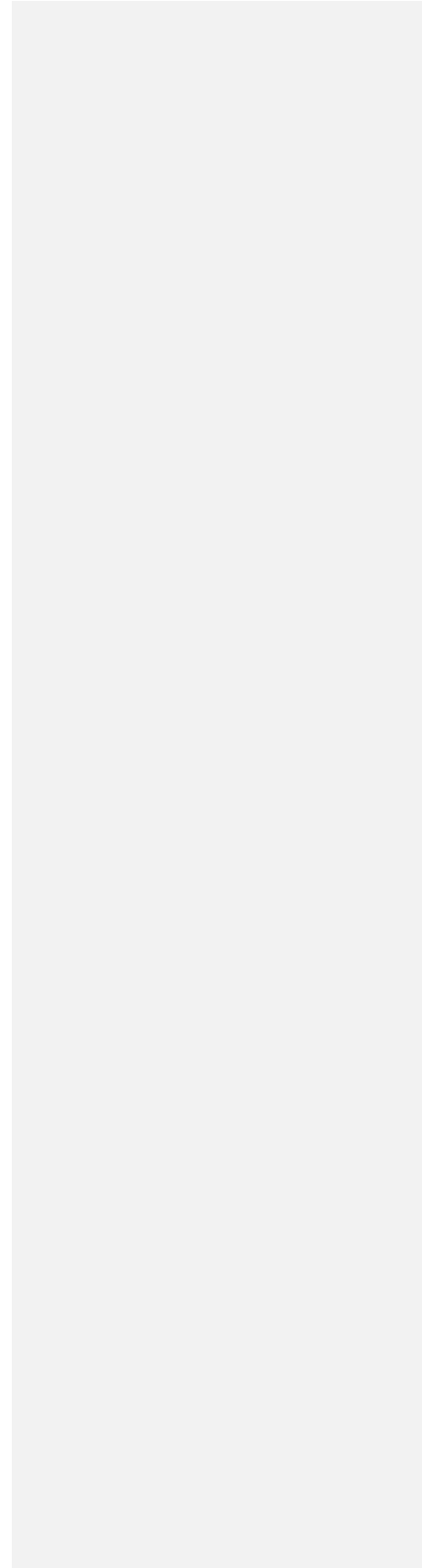
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- ~~(9)~~ \* report to the Commission the names of all horses humanely destroyed or which otherwise expire at the meeting and the reasons therefore;
- ~~(10)~~ \* maintain all required records of postmortem examinations performed on horses which have died within the jurisdiction of the Commission;
- ~~(11)~~ \* maintain the Veterinarian's List of horses ineligible to race;
- ~~(4)~~place horses on the Veterinarian's List and remove horses from the Veterinarian's List;
- ~~(5)~~place horses on the Bleeder List and remove horses from the Bleeder List;
- ~~(6)~~~~(12)~~ supervise and control the Test Barn;
- ~~(7)~~~~(13)~~ supervise the taking of all specimens for testing according to procedures approved by the Commission;
- ~~(8)~~~~(14)~~ provide proper safeguards in the handling of all laboratory specimens to prevent tampering, confusion, or contamination and assure sample integrity;
- ~~(15)~~ provide the stewards with a written statement regarding the nature and seriousness of all laboratory reports of prohibited substances in equine samples.
- ~~(9)~~~~(16)~~ have jurisdiction over the practicing licensed veterinarians within the enclosure for the purpose of these rules;
- ~~(17)~~ review and consult with the applicants and the stewards/Commission regarding Commission license applications of practicing veterinarians, veterinary technicians or assistants, vendors of medical supplies and equipment, non-veterinarian health care providers (massage therapists, nutritionists, physical therapists, etc.);
- ~~(18)~~ \* cooperate with practicing veterinarians and other regulatory agencies to take measures to control communicable and/or reportable equine diseases;
- ~~(10)~~report to the Commission the names of all horses humanely destroyed or which otherwise expire at the meeting and the reasons therefore;
- ~~(11)~~maintain all required records of postmortem examinations performed on horses which have died on association grounds;
- ~~(12)~~be available to the stewards prior to scratch time each racing day at a time designated by the stewards to inspect any horses and report on their condition as may be requested by the stewards;
- ~~(13)~~~~(19)~~ \_\_\_\_\_ refuse employment or payment, directly or indirectly, from any horse owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the official veterinarian for the Commission;
- ~~(14)~~review and consult with the applicants and the stewards/Commission regarding Commission license applications of practicing veterinarians;
- ~~(15)~~cooperate with practicing veterinarians and other regulatory agencies to take measures to control communicable and/or reportable equine diseases;
- ~~(16)~~periodically review all horse papers under the jurisdiction of the Commission to ensure that all required test and health certificates are current and properly filed in accordance with these rules;
- ~~(17)~~be authorized to humanely destroy any horse deemed to be so seriously injured that it is in the best interests of the horse to so act; and

~~(18) provide the stewards with a written statement regarding the nature and seriousness of all laboratory reports of prohibited substances in equine samples.~~

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02



## **ARCI-008-010 General Provisions**

### **A. Licenses Required**

- (1) A person shall not participate in pari-mutuel racing under the jurisdiction of the Commission without a valid license issued by the Commission. License categories shall include the following and others as may be established by the Commission:
  - (a) racing participants and personnel (including owner, authorized agent, trainer, assistant trainer, jockey, apprentice jockey, jockey agent, exercise rider, pony rider, veterinarian, veterinary assistant, horseshoer and stable employees);
  - (b) racing officials (including steward, racing secretary, starter, horsemen's bookkeeper, timer/clocker, clerk of scales, jockey room custodian, paddock judge, patrol judge, placing judge, official veterinarian, racing veterinarian and horse identifier);
  - (c) persons employed by the association, or employed by a person or concern contracting with or approved by the association or Commission to provide a service or commodity, which requires their presence in a restricted area, or which requires their presence anywhere on association grounds while pari-mutuel wagering is being conducted; and
  - (d) all Commission employees.
- (2) Members of the media, including chart callers, while not required to be licensed, may at the commission's discretion be subject to background investigation, fingerprinting, be required to carry credentials, and pay all required fees.
- (3) Persons required to be licensed shall submit a completed application on forms furnished by the Commission and accompanied by the required fee.
- (4) License applicants may be required to furnish to the Commission a set(s) of fingerprints and a recent photograph and may be required to be re-fingerprinted or rephotographed periodically as determined by the Commission.

### **B. Fingerprinting and Licensing Reciprocity**

The Commission may license persons holding valid permanent (not temporary) licenses issued by racing jurisdictions in North America. The licensee must be in good standing; have cleared a Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police (RCMP) fingerprint check within the previous 36 months, or such other period as is required by this jurisdiction; file an application and/or affidavit as may be required by the Commission; and pay the required applicable fees prior to participating in racing.

- (1) The Commission may recognize the issuance of racing licenses from jurisdictions in North America for purposes of issuance of licenses in this jurisdiction.
- (2) Only permanent licenses in good standing shall be considered. Temporary or probationary licenses shall not be considered.
- (3) An applicant must be in good standing in each jurisdiction where they hold or have held a racing license.
- (4) The applicant must have submitted fingerprints within the past 36 months, or such other period as is required by this jurisdiction, for the purpose of a criminal records

check by the FBI or RCMP. The applicant shall provide this jurisdiction with proof of licensure from another jurisdiction to which fingerprints were submitted.

- (5) The applicant shall submit the license application form and license fee required by this jurisdiction.
- (6) Provided the above requirements have been met, this jurisdiction may issue either a license and/or a validation sticker. The validation sticker shall be affixed to either a license issued by this jurisdiction or a valid license issued by another jurisdiction. The validation sticker shall measure a maximum of one-half inch vertically by one and one-half inches horizontally and shall contain this jurisdiction's two-letter postal service abbreviation, the year of validation and the audit trail code or serial number (where applicable). The validation sticker shall be constructed of an approved tamper-resistant material. The affixing of the validation sticker shall constitute licensing. This Commission shall determine the period of time that such license shall be valid in this jurisdiction.
- (7) In the event the licensee is absent from this jurisdiction, and upon payment of the applicable fees, a receipt shall be mailed to the licensee's permanent address. The receipt may then be presented at the Commission office by the licensee so that a Commission representative may affix the proper validation sticker to the racing license badge.

#### C. Multi-Jurisdictional Licensing Information

In lieu of a license application from this jurisdiction, the Commission shall accept a NAPRA or RCI Multi-Jurisdictional License Form.

#### D. Age Requirement

Applicants for licensing shall be a minimum of 16 years of age unless otherwise specified in these rules. An applicant may be required to submit a certified copy of his/her birth certificate. Persons under the age of 18 may be required to show evidence of active participation in a certified educational program or have a high school diploma or equivalent.

#### E. Consent to Investigation

The filing of an application for license shall authorize the Commission to investigate criminal and employment records, to engage in interviews to determine applicant's character and qualifications and to verify information provided by the applicant.

#### F. Consent to Search and Seizure

By acceptance of a license, a licensee consents to search and inspection by the Commission or its agents and to the seizure of any prohibited medication, drugs, paraphernalia or devices in accordance with state/provincial and federal law.

#### G. Protection of Horses

- (1) Each person licensed by the Commission shall do all that is reasonable and within his/her power and scope of duty to guard against and prevent the administration of any drug, medication or other substance, including permissible medication in excess of the maximum allowable level, to any horse entered or to be entered in an official workout or race, as prohibited by these rules.

- (2) No licensee or other person under the jurisdiction of the Commission shall subject or permit any animal under his/her control, custody or supervision to be subjected to or to incur any form of cruelty, mistreatment, neglect or abuse or abandon, injure, maim or kill or administer any noxious substance to or deprive any animal of necessary care or sustenance, shelter or veterinary care.

#### H. Substance Abuse/Addiction

- (1) All licensees shall be deemed to be exercising the privileges of their license, and to be subject to the requirements of these rules, when engaged in activities that could affect the outcome of a race or diminish the conditions of safety or decorum required in restricted areas.
- (2) It shall be a violation to exercise the privileges granted by a license from this Commission if the licensee:
  - (a) Is engaged in the illegal sale or distribution of alcohol or a controlled substance;
  - (b) Possesses, without a valid prescription, a controlled substance;
  - (c) Is intoxicated or under the influence of alcohol or a controlled substance;
  - (d) Is addicted, having been determined to be so by a professional evaluation, to alcohol or other drugs and not engaged in an abstinence-based program of recovery acceptable to the Commission;
  - (e) Has in his/her possession within the enclosure any equipment, products or materials of any kind which are used or intended for use in planting, propagating, cultivating, growing, harvesting, manufacturing, compounding, converting, producing, processing, preparing, testing, analyzing, packaging, repackaging, storing, containing, concealing, injecting, ingesting, inhaling or otherwise introducing into the human body a controlled dangerous substance;
  - (f) Refuses to submit to urine or drug testing, when notified that such testing is based on a random drug testing procedure, is based on reasonable suspicion that the person is using drugs or alcohol or is based on the licensee's acting as if in an impaired condition; or
  - (g) Presently has drugs (controlled substances) or alcohol in his or her body. With regard to alcohol, the results of a breathalyzer test showing a reading of more than .05 percent of alcohol in the blood shall be the criterion for a finding of alcohol present in the body. With regard to other controlled substances, presence of the drug in any quantity measured by the testing instrument establishes the presence of the drug for purposes of this paragraph.
- (3) At its discretion, the Commission may conduct random or episodic random drug testing, as well as testing based on reasonable suspicion, in order to ensure safety on the racetrack.
- (4) When conducted, random drug testing shall apply, equally, to all licensees who are, at the time of the random testing, exercising the privileges of their license in such ways as may affect the outcome of a race or diminish the conditions of safety or decorum required in restricted areas.
- (5) No notice need be given as to onset or cessation of random testing.

- (6) For licensees who are tested under the provisions in this chapter, and whose testing shows the presence of drugs (controlled substances) or alcohol, any field screening test results shall be confirmed by a laboratory acceptable to the Commission which shall include Gas Chromatography/ Mass Spectrometry (GC/MS) procedures.
- (7) When the sample quantity permits, each test sample shall be divided into portions so that one portion may be used for the confirmation procedure and another portion may be utilized by the licensee to obtain an independent analysis of the urine sample.
- (8) The Commission shall provide for a secure chain of custody for the sample to be made available to the licensee.
- (9) All costs for the transportation and testing for the sample portion made available for the licensee shall be the financial responsibility of the requesting person.
- (10) Payment shall be due from the requesting person within 30 days of receipt of notice of the costs.
- (11) A licensee penalized or restricted pursuant to this chapter shall retain rights of due process with respect to any determination of alleged violations which may adversely affect the right to hold a license.
- (12) If there has been a violation, under number 2 above, the following procedures will be followed:
- (13) The Commission may, at its discretion, order the licensee to obtain a professional assessment to determine whether there is a substantial probability that the licensee is dependent on, or abuses, alcohol or other drugs or the Commission may act on the information at hand.
- (14) Actions in the case of first violators may include revocation of the license, suspension of the license for up to six months, placing the violator on probation for up to 90 days or ordering formal assessment and treatment.
- (15) Treatment or assessment, if ordered, must meet the conditions given in numbers 16-18 below.
- (16) The license of the person may be revoked or suspended for a period of up to one year or a professional assessment of the person may be ordered by the Commission.
- (17) If a professional assessment indicates presence of a problem of alcohol or other drug abuse that is not treatable within the reasonably foreseeable future (360 days) the license may be suspended for a period of up to one year.
- (18) If a professional assessment indicates presence of a treatable problem of alcohol or other drug abuse or dependence, the Commission may order the licensee to undergo treatment as a condition of continuing licensure. Such treatment will be through a program or by a practitioner, acceptable to the licensee and the Commission. Required features of any program or practitioner acceptable to the Commission will be:
  - (a) Accreditation or licensure by an appropriate government agency, if required by state statute;
  - (b) A minimum of one year follow-up of formal treatment; and

- (c) A formal contract indicating the elements of the treatment and follow up program that will be completed by the licensee and, upon completion, certified to the Commission as completed. To effect the contract, the licensee will authorize release of information by the treating agency, hospital or individual.
- (19) For third-time violators, the violator's license may be revoked and the violator may be deemed ineligible for licensure for up to five years.
- (20) Although relapse (failure to maintain abstinence) is not inevitable, it is common for relapse to occur in recovery from alcoholism or other substance dependence. Therefore, a licensee who is engaged in a formal program of recovery, and is compliant with all provisions other than abstinence, will not be regarded automatically as having committed a new violation.
- (21) When a licensee is determined to have failed in maintaining abstinence, the licensee shall furnish to the Commission an assessment by the treating agency, hospital or individual practitioner indicating whether the licensee was compliant with the agreed upon program of recovery, and an opinion as to whether a "new violation" occurred.
- (22) The Commission will determine whether a new violation has occurred in each instance. If a new violation has occurred, the Commission will proceed under numbers 13-15 above or numbers 16-18 above. Otherwise, the licensee shall continue in the agreed upon program of recovery.

**I. Approval or Recommendations by Stewards**

The Commission may designate categories of licenses which shall require stewards' prior approval or recommendation.

**J. Employer Responsibility**

- (1) The employment or harboring of any unlicensed person at facilities under the jurisdiction of the Commission is prohibited.
- (2) Every employer shall report the discharge of any licensed employee in writing to the Commission or its designee, including the person's name, occupation and reason for the discharge.

**K. Employer Endorsement of License Applications**

The license application of an employee shall be signed by the employer.

**L. Workers' Compensation**

Licensed employers shall carry workers' compensation insurance covering their employees as required by statute.

**M. Financial Responsibility**

Applicants for a license may be required to submit evidence of financial responsibility and shall maintain financial responsibility during the period for which the license is issued.

#### N. License Refusal

The Commission or its designee may refuse to issue a license and give the applicant the option of withdrawal of an application without prejudice. If an applicant is refused, the applicant may reapply for a license.

#### O. License Denial

The Commission may formally deny an application in accordance with these rules. An application denied shall be reported in writing to the applicant stating the reasons for denial, the date when a reapplication may be submitted, and shall be reported to ~~the North American Pari Mutuel Regulators Association,~~ or the Association of Racing Commissioners International, Inc whereby other member racing jurisdictions shall be advised.

#### P. Grounds for Refusal, Denial, Suspension or Revocation of License

- (1) The Commission or its designee may refuse to issue or may deny a license to an applicant, or may suspend or revoke a license issued, or may order disciplinary measures, if the applicant:
  - (a) has been convicted of a felony;
  - (b) has been convicted of violating any law regarding gambling or a controlled dangerous substance;
  - (c) has pending criminal charges; or
  - (d) is unqualified to perform the duties required of the applicant;
  - (e) has failed to disclose or states falsely any information required in the application;
  - (f) has been found in violation of statutes or rules governing racing in this state or other jurisdictions;
  - (g) has racing disciplinary charges pending in this state or other jurisdictions;
  - (h) has been or is currently excluded from association grounds by a recognized racing jurisdiction;
  - (i) has had a license denied, suspended or revoked by any racing jurisdiction;
  - (j) is a person whose conduct or reputation may adversely reflect on the honesty and integrity of horse racing or interfere with the orderly conduct of a race meeting;
  - (k) demonstrates financial irresponsibility by accumulating unpaid obligations, defaulting in obligations or issuing drafts or checks that are dishonored or payment refused;
  - (l) is ineligible for employment pursuant to federal or state law because of age or citizenship; or
  - (m) has violated any of the alcohol or substance abuse provisions outlined in Sec. H of this rule ~~of this chapter.~~
- (2) A license suspension or revocation shall be reported in writing to the applicant and ~~the North American Pari Mutuel Regulators Association,~~ or the Association of Racing Commissioners International, Inc. whereby other member racing jurisdictions shall be advised.

Q. Relationships with Inactive Persons, Prohibited

(1) A person shall not train a horse or practice veterinary medicine for the benefit, credit, reputation, or satisfaction of an inactive person. This prohibition shall not prevent the partners in a veterinary practice from providing services to horses as long as the inactive person does not receive a pecuniary benefit from those services.

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(2) An associated person of an inactive person shall not:

(a) Assume the inactive person's responsibilities at a location under the jurisdiction of the commission;

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(b) Complete an entry form for a race on behalf of or for the inactive person or an owner or customer for whom the inactive person has worked; or

(c) Pay or advance an entry fee for on behalf of the inactive person or owner or customer for whom the inactive person has worked.

(3) An associated person who assumes the responsibility for the care, custody, or control of an unsuspended horse owned (fully or partially), leased, or trained by an inactive person shall not:

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(a) Be paid a salary directly or indirectly by or on behalf of the inactive person;

(b) Receive a bonus or any other form of compensation in cash, property, or other remuneration or consideration from the inactive person;

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(c) Make a payment or give remuneration or other compensation or consideration to the inactive person or associated person; or

(d) Train or perform veterinarian work for the inactive person or an owner or customer of the inactive person at a location under the jurisdiction of the Authority.

(4) A person who is responsible for the care, training, or veterinarian services provided to a horse formerly under the care, training, or veterinarian services of an inactive person shall:

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(a) Bill customers directly on his or her bill form for any services rendered at or in connection with any race meeting;

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(b) Maintain a personal checking account totally separate from and independent of that of the inactive person to be used to pay expenses of and deposit income from an owner or client of the inactive person;

(c) Not use the services, directly or indirectly, of current employees of the inactive person; and

(d) Pay bills related to the care, training, and racing of the horse from a separate and independent checking account. Copies of the invoices for such expenses shall be retained for not less than six (6) months after the date of the reinstatement of the license of the inactive person or the expiration of the suspension of the inactive person's license.

Q.R. License Restrictions, Limitations and Conditions

The Commission or its designee, for cause, may restrict, limit or place conditions on any license.

**R.S.** Duration of License

- (1) Licenses expire December 31 or are valid for such other period as permitted by the Commission.
- (2) A license is valid only under the condition that the licensee remains eligible to hold such license.

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**S.T.** Changes in Application Information

During the period for which a license has been issued, the licensee shall report to the Commission changes in information provided on the license applications as to current legal name, marital status, permanent address, criminal convictions, license suspensions of 10 days or more or license revocations or fines of \$500 or more in other jurisdictions.

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**T.U.** Temporary Licenses

The Commission may establish provisions for temporary licenses or may permit applicants to participate in racing pending action on an application.

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**U.V.** More Than One License

More than one license to participate in flat racing may be granted to a person except when prohibited by these rules due to a potential conflict of interest.

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**V.W.** Conflict of Interest

- (1) The Commission or its designee shall refuse, deny, suspend or revoke the license of a person whose spouse holds a license and which the Commission or stewards find to be a conflict of interest.
- (2) A commissioner or Commission employee or racing official shall not be an owner of a horse and shall not accept breeder awards at a race meeting where they have jurisdiction.
- (3) A racing official who is an owner of either the sire or dam of a horse entered to race shall not act as an official with respect to that race.
- (4) A person who is licensed as an owner or trainer, or has any financial interest in a horse registered for racing at a race meeting in this jurisdiction shall not be employed or licensed at that race meeting as a jockey; apprentice jockey; jockey agent; racing official; assistant starter; practicing veterinarian; veterinary assistant; racetrack director, officer or managing employee; track maintenance supervisor or employee; jockey room custodian; valet; outrider; racetrack security employee; horseshoer; photo finish operator; horsemen's bookkeeper; racing chemist or testing laboratory employee.

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**W.X.** License Presentation

- (1) A person shall present an appropriate license to enter a restricted area.
- (2) The stewards may require visible display of a license in a restricted area.
- (3) A license may only be used by the person to whom it is issued.

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**X.Y.** Visitor's Pass

Track security may authorize unlicensed persons temporary access to restricted areas. Such persons shall be identified and their purpose and credentials verified and approved in writing by track security. A copy of the written approval shall be filed with the

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Commission or its designee within 48 hours. Such authorization or credential may only be used by the person to whom it is issued.

### Y.Z. Safety Equipment

#### (1) Helmets

Any licensee mounted on a horse or stable pony on association grounds must wear a properly secured safety helmet at all times. The licensee is responsible for providing sufficient evidence that his/her helmet meeting one of the following safety standards: American Society for testing and Materials (ASTM 1163); UK Standards (EN-1384 and PAS-015); or, Australian/New Zealand Standard (AS/NZ 3838).

#### (2) Vests

A safety vest, designed to provide shock absorbing protection of at least a rating of five, as defined by the British Equestrian Trade Association (BETA), must be worn at all times on association grounds when racing, parading or warming up a horse prior to racing; or jogging or exercising a horse at any time.

#### (3) Reins

All horses with a jockey or exercise rider mounted that are racing, parading or warming up prior to racing; or jogging or exercising at any time must be equipped with a type of safety reins approved by the commission. Reins to be approved must be originally designed and constructed to provide a secure secondary attachment to the bit that is secured to a reinforcement material to prevent failure due to breakage of the rein, or breakage or inadvertent loss of the primary connection to the bit.

### Z.AA. Knowledge of Rules

- (1) A licensee shall be knowledgeable of the rules of the Commission; and by acceptance of the license, agrees to abide by the rules.
- (2) A licensee shall report to track security or the stewards any knowledge he/she has that a violation of these rules has occurred or may occur.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02  
Version 3.1 to 3.2 ARCI 12/9/04 NAPRA 12/9/04: Amended new rule and language added  
Version 4.0 to 4.1 ARCI 4/26/07: Added new rule language  
Version 4.3 to 4.4 ARCI 12/10/08: Updated helmet standards

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### **ARCI-005-010 Terms**

- (1) **Age** of a horse foaled in North America shall be reckoned from the first day of January of the year of foaling.
- (2) **Also Eligible** pertains to:
  - (a) a number of eligible horses, properly entered, which were not drawn for inclusion in a race, but which become eligible according to preference or lot if an entry is scratched prior to the scratch time deadline; or
  - (b) in a trial race, the next preferred contestant that is eligible to participate when an entry is scratched, pursuant to the written conditions of the race.
- (3) **Allowance Race** means an overnight race for which eligibility and weight to be carried is determined according to specified conditions which include age, sex, earnings and number of wins.
- (4) **Association Grounds** means all real property utilized by the association in the conduct of its race meeting, including the race track, grandstand, concession stands, offices, barns, stable area, employee housing facilities and parking lots and any other areas under the jurisdiction of the Commission.
- (5) **Betting Interest** means one or more horses in a pari-mutuel contest which are identified by a single program number for wagering purposes.
- (6) **Bleeder** means a horse which has demonstrated external evidence of exercise induced pulmonary hemorrhage.
- (7) **Bleeder List** means a tabulation of all bleeders to be maintained by the Commission.
- (8) **Breeder** means the owner of the horse's dam at the time of foaling for Thoroughbreds. For Quarter Horses, Appaloosas, Arabians and Paint Horses, the breeder is the owner of the dam at the time of service.
- (9) **Claiming Race** means a race in which any horse starting may be claimed (purchased for a designated amount) in conformance with the rules.
- (10) **Conditions** are qualifications which determine a horse's eligibility to be entered in a race.
- (11) **Coupled Entry** is two or more contestants in a contest that are treated as a single betting interest for pari-mutuel wagering purposes (also see **Entry**).
- (12) **Dead Heat** means the finish of a race in which the noses of two or more horses reach the finish line at the same time.
- (13) **Declaration** means the act of withdrawing an entered horse from a race prior to the closing of entries.
- (14) **Draw** means the process of assigning post positions and the process of selecting contestants in a manner to ensure compliance with the conditions of the rules of racing.
- (15) **Entry** is:
  - (a) a horse eligible for and entered in a race; or

- (b) two or more horses, entered in the same race, which have common ties of ownership, lease or training (see **Coupled Entry**).
- (16) **Flat Race** means a race in which horses mounted by jockeys run over a course on which no jumps or other obstacles are placed.
- (17) **Furosemide List** means a tabulation of all horses eligible to participate in a race with furosemide in its system.
- (18) **Handicap** means a race in which the weights to be carried by the horses are assigned by the racing secretary or handicapper for the purpose of equalizing the chances of winning for all horses entered.
- (19) **Horse** means any equine (including and designated as a mare, filly, stallion, colt, ridgeling or gelding) registered for racing; specifically, an entire male 5 years of age and older.
- (20) **Inquiry** means an investigation by the stewards of potential interference in a contest prior to declaring the result of said contest official.
- (21) **Jockey** means a professional rider licensed to ride in races.
- (22) **Jugging** means the administration of any substance via intravenous infusion or injection.
- (23) **Maiden** means a horse that has never won an official or recognized race as defined in breed registry rules.
- (24) **Maiden Race** means a contest restricted to nonwinners.
- (25) **Match Race** means a race between two or more horses under conditions agreed to by their owners.
- (26) **Mutuel Field** means two or more contestants treated as a single betting interest for pari-mutuel wagering purposes because the number of betting interests exceeds the number that can be handled individually by the pari-mutuel system.
- (27) **Nomination** means the naming of a horse to a certain race or series of races generally accompanied by payment of a prescribed fee.
- (28) **Nominator** means the person or entity in whose name a horse is nominated for a race or series of races.
- (29) **Objection** is:
- (a) a written complaint made to the stewards concerning a horse entered in a race and filed not later than one hour prior to the scheduled post time of the first race on the day in which the questioned horse is entered; or
- (b) a verbal claim of foul in a race lodged with the stewards or their designee by the horse's jockey, trainer, owner or the owner's authorized agent before the race is declared official.
- (30) **Official Starter** means the official responsible for dispatching the horses for a race.
- (31) **Official Running Time** means the elapsed time from the moment the first horse crosses the starting point until the first horse crosses the finish line.
- (32) **Off Time** means the moment at which, on the signal of the official starter, the doors of the starting gate are opened, officially dispatching the horses in each contest.

- (33) **Optional Claiming Race** means a contest restricted to horses entered to be claimed for a stated claiming price and to those which have started previously for that claiming price or less. In the case of horses entered to be claimed in such a race, the race shall be considered, for the purpose of these rules, a claiming race. In the case of horses not entered to be claimed, the race shall be considered an allowance race.
- (34) **Overnight Race** means a contest for which entries close at a time set by the racing secretary; also known as Purse Race.
- (35) **Paddock** means an enclosure in which horses scheduled to compete in a contest are saddled prior to racing.
- (36) **Post Position** means the pre-assigned position from which a horse will leave the starting gate.
- (37) **Post Time** means the scheduled time for horses to arrive at the starting gate for a contest.
- (38) **Protest** means a written complaint alleging that a horse is or was ineligible to race.
- (39) **Scratch** means the act of withdrawing an entered horse from a contest after the closing of entries.
- (40) **Scratch Time** means the deadline for withdrawal of entries from a scheduled performance.
- (41) **Stable Name** means a name used other than the actual legal name of an owner or lessee and registered with the Commission.
- (42) **Stakes Race** means a contest in which nomination, entry and/or starting fees contribute to the purse. No overnight race shall be considered a stakes race. Special designations or classifications for stakes races such as "Graded Stakes" or "Black Type" shall be determined by the appropriate breed registries or recognized authorities.
- (43) **Starter** means a horse which becomes an actual contestant in a race by virtue of the starting gate opening in front of it upon dispatch by the official starter.
- (44) **Steeplechase Race** means a contest in which horses mounted by jockeys run over a course on which jumps or other obstacles are placed.
- (45) **Steward** means a duly appointed racing official with powers and duties specified by statute or rules.
- (46) **Traction Device** is any modification or isolated device that extends below the ground bearing plane of the horseshoe (e.g. traction nails, toe grabs, turndowns, blocked heels, jar calks, stickers and Memphis bars) or restricts the natural forward slide of the hoof upon impact.
- (46)(47) **Trial Race** means part of a series of contests in which horses participate for the purpose of determining eligibility for a subsequent contest.
- (47)(48) **Tubing** means the administration of any substance via a naso-gastric tube.
- (48)(49) **Walkover** means a race in which only one horse starts or in which all the starters are owned by the same interest. To claim the purse the horse(s) must start and go the distance of the race.
- (49)(50) **Weigh In** means the presentation of a jockey to the clerk of scales for weighing after a race.

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- | ~~(50)~~(51) **Weigh Out** means the presentation of a jockey to the clerk of scales for weighing prior to a race.
- | ~~(51)~~(52) **Weight for Age** means a race in which a fixed scale is used to assign the weight to be carried by individual horses according to age, sex, distance of the race, and season of the year.
- | ~~(52)~~(53) **Winner** means the horse whose nose reaches the finish line first or is placed first through disqualification by the stewards.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02  
Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified rule language

### **ARCI-010-030 Horses Ineligible**

A horse is ineligible to start in a race when:

- (1) it is not stabled on the grounds of the association or present by the time established by the Commission;
- (2) its breed registration certificate is not on file with the racing secretary or horse identifier; unless the racing secretary has submitted the certificate to the appropriate breed registry for correction;
- (3) it is not fully identified and is tattooed on the inside of the upper lip, is microchipped with a unique microchip (ISO 11784), freeze brand or identified by any other method approved by the appropriate breed registry and the Commission;
- (4) it has been fraudulently entered or raced in any jurisdiction under a different name, with an altered registration certificate or altered lip tattoo, microchip ISO 11784, freeze brand or other identification method approved by the appropriate breed registry and the Commission;
- (5) it is wholly or partially owned by a disqualified person or a horse is under the direct or indirect training or management of a disqualified person;
- (6) it is wholly or partially owned by the spouse of a disqualified person or a horse is under the direct or indirect management of the spouse of a disqualified person, in such cases, it being presumed that the disqualified person and spouse constitute a single financial entity with respect to the horse, which presumption may be rebutted;
- (7) the stakes or entrance money for the horse has not been paid, in accordance with the conditions of the race;
- (8) the losing jockey mount fee is not on deposit with the horsemen's bookkeeper;
- (9) its name appears on the Starter's List, Stewards' List or Veterinarian's List;
- (10) it is a first time starter and has not been approved to start by the starter;
- (11) it is owned in whole or in part by an undisclosed person or interest;
- (12) it lacks sufficient official published workouts or race past performance(s);
- (13) it has been entered in a stakes race and has subsequently been transferred with its engagements, unless the racing secretary has been notified of such prior to the start;
- (14) it is subject to a lien which has not been approved by the stewards and filed with the horsemen's bookkeeper;
- (15) it is subject to a lease not filed with the stewards;
- (16) it is not in sound racing condition;
- (17) it has had a surgical neurectomy performed on a heel nerve, which has not been approved by the official veterinarian;
- (18) it has been trachea tubed to artificially assist breathing;
- (19) it has been blocked with alcohol or otherwise drugged or surgically denerved to desensitize the nerves above the ankle;
- (20) it has impaired eyesight in both eyes;
- (21) it is barred or suspended in any recognized jurisdiction;
- (22) it does not meet the eligibility conditions of the race;

- (23) its owner or lessor is in arrears for any stakes fees, except with approval of the racing secretary;
- (24) its owner(s), lessor(s) and/or trainer have not completed the licensing procedures required by the Commission;
- (25) it is by an unknown sire or out of an unknown mare; or
- (26) there is no current negative test certificate for Equine Infectious Anemia attached to its breed registration certificate, as required by statute.
- (27) If a thoroughbred, it has shoes (racing plates) which have toe grabs with a height greater than two millimeters (0.07874 inches), bends, jars, caulks, stickers or any other traction device on the front hooves while racing or training on all racing surface.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

Version 4.0 to 4.1 ARCI 4/26/07: Added new rule language

Version 4.2 to 4.3 ARCI Board 8/2/08: Revised Toe Grab language

***ARCI-006-076 Horseshoe Inspector***

The horseshoe inspector shall:

- (1) Inspect the horseshoes of each horse prior to the race;
- (2) Maintain a record of the type of horseshoes worn by each horse in each race, or if the horse is racing unshod;
- (3) Report immediately to the stewards and paddock judge any horse with prohibited horseshoes under ARCI-010-030(27):
- (4) With the approval of the stewards, have the authority to order adjustments and corrections in horseshoes by a licensed farrier of any horse as he/she may deem necessary; and,
- (5) Maintain a list of horseshoe types approved by the stewards and racetrack management.

**ARCI-009-035 Transfer Of Claimed Horses**

- (1) Upon successful claim, the stewards shall issue, upon forms approved by the Commission, an authorization of transfer of the horse from the original owner to the claimant. Copies of the transfer authorization shall be forwarded to and maintained by the stewards and the racing secretary. Upon notification by the stewards, the horsemen's bookkeeper shall immediately debit the claimant's account for the claiming price, applicable taxes and transfer fees.
- (2) A person shall not refuse to deliver a properly claimed horse to the successful claimant.
- (3) Transfer of possession of a claimed horse shall take place immediately after the race has been run unless otherwise directed by the stewards. If the horse is required to be taken to the test barn for post-race testing, the original trainer or his/her representative shall maintain physical custody of the claimed horse and shall observe the testing procedure and sign the test sample tag. The successful claimant or his/her representative shall also accompany the horse to the test barn.
- (4) When a horse is claimed out of a claiming race, the horse's engagements are transferred, with the horse, to the claimant.
- (5) Ownership interest in any horse claimed from a race shall not be resold or transferred back to the original owner for 30 days after such horse was claimed, except by claim from a subsequent race.
- (6) A claimed horse shall not remain in the same stable or under the control or management of its former owner.
- (7) If the claimed horse has been approved by the stewards to run without the registration certificate on file in the racing office, then the registration certificate must be provided to the stewards for transfer to the new owner before claiming funds will be approved for transfer by the stewards.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

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Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

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## **ARCI-010-020 Weights**

### **A. Allowances**

- (1) Weight allowance must be claimed at time of entry and shall not be waived after the posting of entries, except by consent of the stewards.
- (2) A horse shall start with only the allowance of weight to which it is entitled at time of starting, regardless of its allowance at time of entry.
- (3) Horses not entitled to the first weight allowance in a race shall not be entitled to any subsequent allowance specified in the conditions.
- (4) Claim of weight allowance to which a horse is not entitled shall not disqualify it unless protest is made in writing and lodged with the stewards at least one hour before post time for that race.
- (5) A horse shall not be given a weight allowance for failure to finish second or lower in any race.
- (6) No horse shall receive allowance of weight nor be relieved extra weight for having been beaten in one or more races, but this rule shall not prohibit maiden allowances or allowances to horses that have not won a race within a specified period or a race of a specified value.
- (7) Except in handicap races which expressly provide otherwise, two-year-old fillies shall be allowed three pounds, and fillies and mares, three-years-old and upward, shall be allowed five pounds before September 1 and three pounds thereafter in races where competing against male horses.

### **B. Penalties**

- (1) Weight penalties are obligatory.
- (2) Horses incurring weight penalties for a race shall not be entitled to any weight allowance for that race.
- (3) No horse shall incur a weight penalty or be barred from any race for having been placed second or lower in any race.
- (4) Penalties incurred and allowances due in steeplechase or hurdle races shall not apply to races on the flat, and vice versa.
- (5) The reports, records and statistics as published by Daily Racing Form, Equibase or other recognized publications shall be considered official in determining eligibility, allowances and penalties, but may be corrected.

(6) [For determining weight penalties and allowances for horses that have previously won or placed in Graded or Group races, penalties in the race conditions will only apply to Graded or Group races in Part 1 countries as recognized in the international Catalogue Standards \(ICS\) book.](#)

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### **C. Weight Conversions**

For the purpose of determining weight assignments and/or allowances for imported horses, the following weight conversions shall be used:

- (1) 1 kilogram = 2 1/4 pounds
- (2) 1 Stone = 14 pounds

#### D. Scale of Weights

The weights required in the following table shall be carried when not otherwise specified in the conditions of the race:

Table 1: Scale of Weights for Age

Distance	One-Half Mile				
	Two years	Three years	Four years	Five years & up	
Jan.		x	117	130	130
Feb.		x	117	130	130
Mar.		x	119	130	130
April		x	119	130	130
May		x	121	130	130
June		x	123	130	130
July		x	125	130	130
Aug.		105	126	130	130
Sept.		108	127	130	130
Oct.		111	128	130	130
Nov.		114	129	130	130
Dec.		114	129	130	130

Distance	Six Furlongs				
	Two years	Three years	Four years	Five years & up	
Jan.		x	114	129	130
Feb.		x	114	129	130
Mar.		x	117	130	130
April		x	117	130	130
May		x	119	130	130
June		x	121	130	130
July		x	123	130	130
Aug.		102	125	130	130
Sept.		105	126	130	130
Oct.		108	127	130	130
Nov.		111	128	130	130
Dec.		111	128	130	130

Distance		One Mile			
Age	Two years	Three years	Four years	Five years & up	
Jan.		x	107	127	128
Feb.		x	107	127	128
Mar.		x	111	128	128
April		x	111	128	128
May		x	113	127	127
June		x	115	126	126
July		x	117	126	126
Aug.		x	119	126	126
Sept.		96	121	126	126
Oct.		99	122	126	126
Nov.		102	123	126	126
Dec.		102	123	126	126

Distance		One and a Quarter Miles			
Age	Two years	Three years	Four years	Five years & up	
Jan.		x	101	125	127
Feb.		x	101	125	127
Mar.		x	107	127	127
April		x	107	127	127
May		x	111	127	127
June		x	113	126	126
July		x	116	126	126
Aug.		x	118	126	126
Sept.		x	120	126	126
Oct.		x	121	126	126
Nov.		x	122	126	126
Dec.		x	122	126	126

Distance		One and a Half Miles			
Age	Two years	Three years	Four years	Five years & up	
Jan.		x	98	124	126
Feb.		x	98	124	126
Mar.		x	104	126	126
April		x	104	126	126
May		x	108	126	126
June		x	111	126	126
July		x	114	126	126
Aug.		x	117	126	126
Sept.		x	119	126	126
Oct.		x	121	126	126
Nov.		x	122	126	126
Dec.		x	122	126	126

Distance		Two Miles			
Age	Two years	Three years	Four years	Five years & up	

Jan.	x	96	124	126
Feb.	x	96	124	126
Mar.	x	102	126	126
April	x	102	126	126
May	x	106	126	126
June	x	109	126	126
July	x	112	126	126
Aug.	x	114	125	125
Sept.	x	117	125	125
Oct.	x	119	124	124
Nov.	x	120	124	124
Dec.	x	120	124	124

- (1) In races of intermediate lengths, the weights for the shorter distance are carried.
- (2) In races exclusively for three-year-olds or four-year-olds, the weight is 126 pounds, and in races exclusively for two-year-olds, it is 122 pounds.
- (3) In all races except in handicaps and races where the conditions expressly state to the contrary, the scale of weights is less, by the following: for two-year-old fillies, 3 pounds; for fillies and mares, three-years-old and upward, five pounds before September 1, and three pounds thereafter.
- (4) In all overnight races except handicaps, not more than six pounds may be deducted from the scale of weights for age, except for allowances, but in no case shall the total allowances of any type reduce the lowest weight below 101 pounds, except that this minimum weight need not apply to two-year-olds or three-year-olds when racing with older horses.
- (5) In all handicaps which close more than 72 hours prior to the race the top weight shall not be less than 126 pounds, except that in handicaps for fillies and mares, the top weight shall not be less than 126 pounds less the sex allowance at the time the race is run; and scale weights for fillies and mares or three-year-olds may be used for open handicaps as minimum top weight in place of 126 pounds.
- (6) In all overnight handicaps and in all claiming handicaps, the top weight shall not be less than 122 pounds.
- (7) In all overnight races for two-year-olds, for three-year-olds or for four-year-olds and upward the minimum weight shall be 112 pounds, subject to sex and apprentice allowances. This rule shall not apply to handicaps, nor to races for three-year-olds and upward.
- (8) Quarter Horses, Appaloosas and Paints minimum scale weights shall be 120 pounds for two-year-olds, 122 pounds for three-year-olds, and 124 pounds for four-year-olds and older.

#### E. Distance Conversions

For the purpose of determining eligibility, weight assignments and/or allowances for imported horses, the racing secretary shall convert metric distances to English measures by reference to the following scale:

#### COMPARATIVE TABLE OF DISTANCES

200 Meters = 1 Furlong

1,000 Meters = 5 Furlongs

1,200 Meters = 6 Furlongs

1,400 Meters = 7 Furlongs

1,600 Meters = 1 Mile

1,700 Meters = 1-1/16 Miles

1,800 Meters = 1-1/8 Miles

2,000 Meters = 1-1/4 Miles

2,200 Meters = 1-3/8 Miles

2,400 Meters = 1-1/2 Miles

2,600 Meters = 1-5/8 Miles

3,000 Meters = 1-7/8 Miles

3,200 Meters = 2 Miles

3,600 Meters = 2-1/4 Miles

4,800 Meters = 3 Miles

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

### **ARCI-011-023 Testing**

#### **A. Reporting to the Test Barn**

- (1) The official winning horse and any other horse ordered by the Commission and/or the stewards shall be taken to the test barn to have a blood and urine samples taken at the direction of the official veterinarian.
- (2) Random or extra testing may be required by the stewards or the Commission at any time on any horse on association grounds.
- (3) Unless otherwise directed by the stewards or the official veterinarian, a horse that is selected for testing must be taken directly to the test barn.
- (4) A track security guard shall monitor access to the test barn area during and immediately following each racing performance. All persons who wish to enter the test barn area must be a minimum of 18-years-old, be currently licensed by the Commission, display their Commission identification badge and have a legitimate reason for being in the test barn area.

#### **B. Sample Collection**

- (1) Sample collection shall be done in accordance with the guidelines and instructions provided by the official veterinarian.
- (2) The official veterinarian shall determine a minimum sample requirement for the primary testing laboratory.
  - (a) If the specimen obtained from a horse is less than the minimum sample requirement, the entire specimen shall be sent to the primary testing laboratory.
  - (b) If a specimen obtained is greater than the minimum sample requirement but less than twice that amount, the portion of the sample that is greater than the minimum sample requirement shall be secured as the split sample.
  - (c) If a specimen obtained is greater than twice the minimum sample requirement, a portion of the sample approximately equal to the amount provided for the primary testing laboratory shall be secured as the split sample.

(d) Split samples collected for simultaneous determination of TCO2 levels shall be collected and shipped in accordance with C. of this rule.

(e) Blood samples must be collected at consistent time, preferably not later than one hour post-race.

#### **C. Alkalinizing Substances**

##### **(1) Pre-race Sampling, Post-race Testing**

- (a) Blood samples for TCO2 and base excess testing should be collected within one hour pre-race. The samples must be handled in a consistent manner and cannot be frozen.
- (b) If a secure detention barn is available, a sample may be obtained prior to furosemide administration and the horse must be kept in the secure detention barn until race time.

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(c) The provisions of this rule pertaining to B. Sample Collection and C. Storage and Shipment of Split Samples shall not apply to blood samples drawn for TCO2 analysis.

(d) Split sample analyses of TCO2 must be run in parallel with the official sample at the official laboratory in order to avoid delays in testing that result in lower TCO2 values as a result of sample degradation.

(e) Blood samples must be processed within 120 hours and tested using standardized, reproducible, validated procedures.

(2) Pre-race Sampling, Pre-race Testing

(a) The commission shall adopt standard operating procedures that include but is not limited to calibration procedures, sampling procedures, personnel and notification processes.

(b) If a sample taken pre-race is determined to above the thresholds stated in ARCI-011-020 K. (2) the horse shall be scratched.

(c) Any owner, trainer or other licensed delegate of the owner or trainer who refuses or fails to permit any horse to be tested when a demand for testing has been made by an authorized commission designee shall have the applicable horse scratched.

(3) Post-race Sampling, Post-race Testing

Post-race sampling of thoroughbreds is discouraged.

D. Storage and Shipment of Split Samples

(1) Split samples obtained in accordance with Subsection B, Numbers 2b and 2c above shall be secured and made available for further testing in accordance with the following procedures:

- (a) A split sample shall be secured in the test barn under the same manner as the portion of the specimen acquired for shipment to a primary laboratory until such time as specimens are packed and secured for shipment to the primary laboratory. Split samples shall then be transferred to a freezer at a secure location approved by the Commission.
- (b) A freezer for storage of split samples shall be equipped with two hasps or other devices to provide for use of two independent locks. One lock shall be the property of the Commission and one lock shall be the property of a representative of the group representing a majority of the horsemen at a race meeting. The locks shall be closed and locked so as to prevent access to the freezer at all times except as specifically provided by these rules.
- (c) A freezer for storage of split samples shall be opened only for depositing or removing split samples, for inventory, or for checking the condition of samples.
- (d) When a freezer used for storage of split samples is opened, it shall be attended by both a representative of the Commission and the owner, trainer or designee. A log shall be maintained that shall be used each time a split sample freezer is opened to specify each person in attendance, the purpose for opening the freezer, identification of split samples deposited or removed, the date and time

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the freezer was opened, and the time the freezer was closed and to verify that both locks were secured prior to and after opening of the freezer.

- (e) Any evidence of a malfunction of a split sample freezer or samples that are not in a frozen condition during storage shall be documented in the log and immediately reported to the official veterinarian or a designated Commission representative.

(2) Provisions for split sample testing for TCO<sub>2</sub> analysis shall be arranged by the trainer or designee at the time of sampling. The trainer shall be responsible for the cost of split sample testing. The trainer or designee shall make arrangements for payment prior to or at the time of sampling. Split sample analysis of TCO<sub>2</sub> must be run in parallel with the official sample at the official laboratory as described in C. of this rule.

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(3) A trainer or owner of a horse having been notified that a written report from a primary laboratory states that a prohibited substance has been found in a specimen obtained pursuant to these rules may request that a split sample corresponding to the portion of the specimen tested by the primary laboratory be sent to another laboratory approved by the Commission. The request must be made in writing and delivered to the stewards not later than three (3) business days after the trainer of the horse receives written notice of the findings of the primary laboratory. Any split sample so requested must be shipped within an additional 48 hours.

(4) The owner or trainer requesting testing of a split sample shall be responsible for the cost of shipping and testing. Failure of the owner, trainer or designee to appear at the time and place designated by the official veterinarian shall constitute a waiver of all rights to split sample testing. Prior to shipment, the Commission shall confirm the split sample laboratory's willingness to simultaneously provide the testing requested, the laboratory's willingness to send results to both the person requesting the testing and the Commission, and arrangements for payment satisfactory to the split sample laboratory. If a reference laboratory will accept split samples, that laboratory must be included among the laboratories approved for split sample testing.

(5) Prior to opening the split sample freezer, the Commission shall provide a split sample chain of custody verification form that shall provide a place for recording the following information and such other information as the official veterinarian may require. The form shall be fully completed during the retrieval, packaging, and shipment of the split sample. The split sample chain of custody form requirements are:

- (a) The date and time the sample is removed from the split sample freezer;
- (b) The sample number;
- (c) The address where the split sample is to be sent;
- (d) The name of the carrier and the address where the sample is to be taken for shipment;
- (e) Verification of retrieval of the split sample from the freezer;
- (f) Verification of each specific step of the split sample packaging in accordance with the recommended procedure;

- (g) Verification of the address of the split sample laboratory on the split sample package;
- (h) Verification of the condition of the split sample package immediately prior to transfer of custody to the carrier; and
- (i) The date and time custody of the sample is transferred to the carrier.

~~(5)~~(6) A split sample shall be removed from the split sample freezer by a Commission representative in the presence of a representative of the horsemen's association.

~~(6)~~(7) The owner, trainer or designee shall pack the split sample for shipment in the presence of the representative of the Commission, in accordance with the packaging procedures recommended by the Commission. A form shall be signed by both the horsemen's representative and the Commission representative to confirm the packaging of the split sample. The exterior of the package shall be secured and identified with initialed tape, evidence tape or other means to prevent tampering with the package.

~~(7)~~(8) The package containing the split sample shall be transported in a manner prescribed by the commission to the location where custody is transferred to the delivery carrier charged with delivery of the package to the Commission-approved laboratory selected by the owner or trainer.

~~(8)~~(9) The owner, trainer or designee and the Commission representative shall inspect the package containing the split sample immediately prior to transfer to the delivery carrier to verify that the package is intact and has not been tampered with.

~~(9)~~(10) The split sample chain of custody verification form shall be completed and signed by the representatives of the Commission and the owner or trainer. A Commission representative shall keep the original and provide a copy for the owner or trainer.

#### D.E. Frozen Samples

The commission has the authority to direct the official laboratory to retain and preserve by freezing samples for future analysis. The fact that purse money has been distributed prior to the issuance of a laboratory report from the future analysis of a frozen sample shall not be deemed a finding that no drug substance prohibited by these rules has been administered.

#### E.F. Laboratory Minimum Standards

Laboratories conducting either primary or split post-race sample analysis must meet at least the following minimum standards.

- (1) A testing laboratory must be accredited by a recognized accrediting body to any standards set forth and required by the Commission.

COMMITTEE NOTE: The Consortium is currently addressing accreditation issues and currently has not settled the issue, however it is anticipated that eventually there will be testing laboratory accreditation standards and one or more accrediting bodies.

- (2) A testing laboratory must have, or have access to, LC/MS instrumentation for screening and/or confirmation purposes.
- (3) A testing laboratory must be able to meet minimum standards of detection, which is defined as the specific concentration at which a laboratory is expected to detect the

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presence of a particular drug and/or metabolite or by the adoption of a regulatory threshold.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02

Version 1.4 to 2.0 ARCI 4/26/03 NAPRA 4/14/03: Rule topic was renumbered from ARCI-011-020

Version 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified rule language

**ARCI-10-xxx**

**FOR HARNESS RACING- Use of a Whip**

A.

- 1.) In any/all Standardbred races, drivers will be allowed whips not to exceed four (4) feet in total length.
- 2.) A snapper (popper) of any kind is prohibited
- 3.) Under the authority of the Presiding Judge, all whips are subject to inspection and measurement. Alteration of whips, in any manner, shall be considered a prohibited practice.

B.

- 1.) Drivers must control their horses at all times when on the racetrack. All drivers shall keep one (1) line in each separate hand. Both hands shall stay in front of the driver's body with a line in each separate hand. The handholds must be adjusted so as to be taut, at all times, from the starter's call to the gate through the word "GO" until the finish of the race.
- 2.) The whip shall be used in a conventional manner by holding the handle area at all times. Whipping use shall be limited to wrist action with minimal elbow and/or shoulder movement.
- 3.) Whipping below the shaft(s), including but not limited to the stifle area, is prohibited.

C.

- 1.) The following actions shall be considered as excessive and/or indiscriminate:
  - a.) Whipping a horse during a post parade, scoring down or after the finish of a race
  - b.) Abusive use of the whip
  - c.) Striking any part of the horse under the tail and/or between the legs
  - d.) Whipping a horse that is exhausted and/or not advancing through the field
  - e.) Causing visible injury
  - f.) Use of any object or stimulating device and/or application

D.

- 1.) Violations of any of these provisions may result in:
  - a.) Fines
  - b.) Suspensions- including minor and/or major
  - c.) Referral to the Commission or Regulatory Agency
  - d.) Disqualification from a race for both purse and pari~mutuel purposes.