

HARNESS DEFINITIONS – CHAPTER 19

ARCI-019-005 Purpose

To provide definition for commonly used terms in the rules. These definitions are used throughout the harness racing rules adopted by the Commission.

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

ARCI-019-010 Terms

- (1) **Added Money Event** includes stakes, futurities, early closing races, and late closing races as further defined in these rules.
- (2) **Advertised Purse** is that amount offered for an event by the track member, sponsor, or presenter and does not include nomination, sustaining, or starting fees.
- (3) **Age** of a horse shall be reckoned from the first day of January of the year of foaling.
- (4) **Also Eligible** pertains to a horse, properly declared, which was not drawn for inclusion in a race, but which became eligible according to preference or lot if an entry is scratched prior to the release time.
- (5) **Appeal** is a request for the Commission or its designee to review a decision or ruling of the judges.
- (6) **Association Grounds** is all real property utilized by the association in the conduct of its race meeting, including the racetrack, grandstand, concession stands, offices, barns, stable area, employee housing facilities and parking lots and any other areas under the jurisdiction of the Commission.
- (7) **Authorized Agent** is a person licensed by the Commission and appointed by a written instrument, signed and acknowledged before a notary public or commissioner for oath by the owner on whose behalf the agent will act.
- (8) **Betting Interest** is one or more horses in a pari-mutuel contest which are identified by a separate program number for wagering purposes.
- (9) **Break** is the racing of a horse at other than the gait designated by the conditions of and the declaration to a race.
- (10) **Bleeder** is a horse which has demonstrated external evidence of exercise induced pulmonary hemorrhage.
- (11) **Bleeder List** is a tabulation of all bleeders to be maintained by the Commission.
- (12) **Breeder** is the owner or lessee of the horse's dam at the time of breeding.
- (13) **Claiming Race** is a race in which a horse may be claimed in conformance with the rules.
- (14) **Classified Race** is a race in which entries are selected by the racing secretary on the basis of ability and/or past performance.
- (15) **Conditioned Race** is an overnight race to which eligibility is determined according to specified conditions which include age, sex, earnings, number of starts, and position of finishes.

- (16) **Conditions** are qualifications which determine a horse's eligibility to be declared in a race.
- (17) **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").
- (18) **Dead Heat** is the finish of a race in which the noses of two or more horses reach the finish line at the same time.
- (19) **Declaration** is the naming of a particular horse as a starter in a particular race.
- (20) **Distanced** means that a horse finishes more than 25 lengths behind the winning horse.
- (21) **Draw** is 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.
- (22) **Driver** is a person who is licensed by the Commission to drive in a race.
- (23) **Early Closing Event** is a race to which nominations close at least six weeks preceding the date of the race. All monies offered for the race by a track or sponsor shall be in addition to all nomination, sustaining, and starting payments to determine the purse. All payments are forfeits.
- (24) **Elimination Heats** are the individual heats of a race in which the contestants must qualify for a final heat.
- (25) **Entry** includes:
 - (a) a horse eligible for and declared in a race; or
 - (b) two or more horses, declared in the same, race, which have common ties of ownership, lease, training, or driving (see **Coupled Entry**).
- (26) **Exhibition Race** is a race on which no wagering is permitted.
- (27) **Exercise Driver** is a person who is licensed by the Commission to exercise horses.
- (28) **Foreign Substance** is any substance, except those which exist naturally in the untreated horse at normal physiological concentration, and shall include all narcotics, stimulants, depressants or other drugs or medications of any type.
- (29) **Forfeit** is:
 - (a) money paid into a race which is non-refundable: or,
 - (b) due from a licensee because of error, fault, neglect of duty, breach of contract or a penalty imposed by the judges or Commission.
- (30) **Furosemide List** means a tabulation of all horses eligible to participate in a race with furosemide in its system.
- (31) **Handicap** is a race in which performance, claiming price, sex or distance allowance is made. Post positions for a handicap may be assigned by the racing secretary. Post positions in handicap claiming races shall be determined by claiming price prior to application of allowances.

- (32) **Horse** is any equine (including and designated as a mare, filly, stallion, colt, spayed mare, ridgling or gelding) registered for racing; specifically, an entire male 5 years of age and older.
- (33) **In Harness** when a race is made to go "in harness" it shall be construed to mean that the performance while hooked to a sulky as described in these definitions.
- (34) **Inquiry** is an investigation by the judges in a contest prior to declaring the result of the contest official.
- (35) **Judge** is a duly appointed racing official with powers and duties specified by the Act and the rules.
- (36) **Late Closing Event** means a race to which nominations close less than six weeks and not less than 3 days or more than five days before the date on which the race is to be contested. All monies offered for the race by a track or sponsor shall be in addition to all nomination, sustaining, and starting payments to determine the purse. All payments are forfeits. Time bars or track qualifying standards shall not be used as conditions for late closing races.
- (37) **Length** is equal to one-fifth second as determined by the photo-finish.
- (38) **Maiden** is a horse which at the time of starting has never won a heat or a race at the gate at which it is declared to start for which a purse is offered excluding schooling races.
- (39) **Maiden Race** is a contest restricted to non-winners at the time of declaration.
- (40) **Matinee Race** is a race in which an entrance fee may be charged and where the premiums, if any, are other than money.
- (41) **Nerving** means to use drugs, surgery, alcohol, cryogenic techniques, laser therapy, or any other means to affect a temporary or permanent blocking of the nerve(s).
- (42) **No Contest** is a race voided for any reason by the judges.
- (43) **Nomination** is the naming of a horse to a certain race or series of races generally accompanied by payment of a prescribed fee.
- (44) **Nominator** is the person or entity in whose name a horse is nominated for a race or series of races.
- (45) **Objection** is a verbal claim of foul in a race lodged by the horse's driver, trainer, owner, or the owner's authorized agent before the race is declared official.
- (46) **Off Time** is the moment at which, on the signal of the official starter, the horses are officially dispatched in each contest.
- (47) **Official Starter** is the official responsible for dispatching the horses for a race.
- (48) **Official Time** is the elapsed time from the moment the first horse crosses the starting point until the first horse crosses the finish line.
- (49) **Optional Claiming Race** is a contest restricted to horses entered to be claimed for a stated claiming price and to which have started previously for that 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 in such a race, the race shall be considered a conditioned race.

- (50) **Overnight Race** is a contest for which declarations close not more than five days before the date on which it will be contested.
- (51) **Owner** is a person who holds any title, right or interest, whole or partial in a horse, including the lessee and lessor of a horse.
- (52) **Paddock** is an enclosure in which horses scheduled to compete in a contest are confined prior to racing.
- (53) **Pari-Mutuel Wagering** is a form of wagering on the outcome of an event in which all wagers are pooled and held by an association for distribution of the total amount, less the deductions authorized by law, to holders of tickets on the winning horses.
- (54) **Post Position** is the pre-assigned position from which a horse starts a race.
- (55) **Post Time** is the scheduled starting time for a contest.
- (56) **Protest** is a written complaint filed with the judges prior to the running of a race alleging a breach of the rules or conditions that a horse is ineligible to race.
- (57) **Purse** is the total dollar amount for which a race is contested.
- (58) **Race** is a contest between horses at a licensed race meeting.
- (59) **Race meeting** is the specified period and dates each year during which an association is authorized to conduct racing and/or pari-mutuel wagering by approval of the Commission.
- (60) **Record** is the fastest time at a mile by a horse in a heat or dash which it won
- (61) **Standardbred Canada (SC)** is Canada's national racing body incorporated under the Animal Pedigree Act of Canada responsible to the Federal Ministry of Agriculture Canada. It is the official breed registry for standardbreds which governs registration and identification. As well, Standardbred Canada is the official Canadian central regulatory body for maintaining racing, driver, and training statistics. Licensing of owners, trainers, drivers, grooms, and officials is part of its standard setting mandate.
- (62) **Sample** is any body substance including but not limited to blood or urine taken from a horse under the supervision of the regulatory body(ies) for the purpose of analysis.
- (63) **Satisfactory Charted Line** is one that meets the qualifying standards at the track at which a horse participates.
- (64) **Scoring** is the preliminary practice given to horses after the post parade and prior to being called to line up for the start of a race by the official starter.
- (65) **Scratch** is the act of withdrawing a declared horse from a contest after the closing of declarations.
- (66) **Stable Name** is a name used other than the actual legal name of an owner or lessee and registered with the United States Trotting Association (USTA), or Standardbred Canada (SC), and the Commission.
- (67) **Stake or Stakes Race** is a race which will be contested in a year subsequent to its closing in which all monies given by the sponsor and/or track member conducting

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same is added to all nomination, sustaining, and starting payments to determine the purse.

- (68) **Starter** is a horse which becomes an actual contestant in a race when the horse has passed the fair start pole and the official starter has started the race, unless otherwise determined by the judges.
- (69) **Sulky** is a dual wheel racing vehicle with dual shafts not exceeding the height of the horse's withers. Shafts must be hooked separately on each side.
- (70) **Sweepstakes** means a stakes race.
- (71) **Two in Three Race** is a race in which a horse must win two heats to be entitled to first place money.
- (72) **United States Trotting Association (USTA)** is the recognized breed registry in the United States of Standardbred Horses.
- (73) **Walkover** is 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.
- (74) **Winner** is the horse whose nose reaches the finish line first or is placed first through disqualification by the judges.

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: Amended new rule language Version

2.0 to 3.1: Amended and modified rule language

Harness Racing Officials - Chapter 20

ARCI-020-005 Purpose

To define the duties and responsibilities of harness racing officials

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

ARCI-020-010 General Provisions

A. Racing Officials

Officials at a race meeting include the following:

- (1) board of judges;
- (2) racing secretary;
- (3) paddock judge;
- (4) horse identifier;
- (5) clerk of the course;
- (6) starter;
- (7) charter;
- (8) timer;
- (9) patrol judge;
- (10) official veterinarian;
- (11) racing veterinarian; and
- (12) any other person designated by the Commission.

B. Eligibility

To qualify as a racing official the appointee must be licensed by the Commission after a determination that the person:

- (1) is of good moral character and reputation;
- (2) is experienced in and/or knowledgeable of harness racing;
- (3) is familiar with the duties to which the person is appointed and with the Commission's rules of harness racing;
- (4) possesses the mental and physical capacity to perform that person's duties; and is not under suspension or ejection by the USTA, the SC, or 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

Racing officials and their assistants shall not engage in any of the following activities while serving in an official capacity at a race meeting:

- (1) participate in the sale or purchase, or own any horse at the race meeting;
- (2) sell or solicit horse insurance on any horse racing at the race meeting;

- (3) be licensed in any other capacity without permission of the Commission;
- (4) wager on the outcome of any live or simulcast race; or
- (5) refuse to take a breath analyzer test or submit to a blood or urine sample when directed by the Commission or its designee.

E. Report of Violations

Racing official and their assistants shall report immediately to the judges every observed perceived violation of these rules and of the laws of this jurisdiction governing racing.

F. Observations and Notifications

- (1) Any racing official shall report to the judges as soon as possible any perceived issues with a horse based on the condition prior to the race which may significantly affect the running of the race
- (2) Upon notification to the judges, they shall conduct an immediate investigation.

G. Complaints Against Officials

Any complaint against a racing official other than a judge shall be made to the judges in writing and signed by the complainant. All such complaints shall be reported to the Commission by the judges, together with a report of the action taken or the recommendation of the judges. Complaints against any judge shall be made in writing to the Commission and signed by the complainant.

H. Appointment

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

I. Appointment of Substitute Officials

Where a vacancy exists among racing officials, the judges shall appoint a person to fill the vacancy immediately. Such appointment shall be effective until the vacancy is filled in accordance with these rules. In addition, the judges have the authority to approve temporary, emergency appointments.

J. Appointment of Substitute Judge

Should any judge be absent at race time, the remaining judge(s) shall appoint a deputy for the absent judge(s). If a deputy judge is appointed, the Commission shall be notified immediately by the judges.

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

Version 4.9 to 5.0 ARCI Board 12/9/11: Added language Observations and Notifications

ARCI-020-015 JUDGES

A. Accreditation

To qualify for appointment as a judge, the appointee shall meet the experience, education and examination requirements necessary to be accredited by an entity designated by the Association of Racing Commissioners International, or licensed by the USTA as a judge.

B. General Authority

- (1) The judges for each race meeting shall be responsible to the Commission for the conduct of the race meeting in accordance with the laws of this jurisdiction and these rules.
- (2) The judges shall enforce these rules and the racing laws of this jurisdiction.
- (3) The judges' authority includes supervision of all racing officials, track management, licensed personnel, other persons responsible for the conduct of racing and patrons, as necessary to ensure compliance with these rules.
- (4) The judges shall have authority to resolve conflicts or disputes related to racing and to discipline violators in accordance with the provisions of these rules.
- (5) The judges have the authority to interpret the rules and to decide all questions of racing not specifically covered by the rules.
- (6) The judges may postpone or cancel races in the event of unfavorable weather or other unavoidable cause.

C. Period of Authority

The judges' period of authority shall commence ___ days prior to the beginning of each race meeting and shall terminate with completion of their official business.

D. Disciplinary Action

- (1) The judges shall take notice of alleged misconduct or rule violations and initiate investigations into the matters.
- (2) The judges shall have authority to charge any licensee for a violation of these rules, to conduct hearings and to impose disciplinary action in accordance with these rules.
- (3) The judges may compel the attendance of witnesses and the submission of documents or potential evidence related to any investigation or hearing.
- (4) The judges may at any time inspect license documents, registration papers and other documents related to racing.
- (5) The judges have the power to administer oaths and examine witnesses.
- (6) The judges shall consult with the official veterinarian to determine the nature and seriousness of a laboratory finding or an alleged medication violation.

- (7) The judges may impose, but are not limited to, any of the following penalties on a licensee for an attempt to violate or a violation of these rules:
 - (a) issue a reprimand;
 - (b) assess a fine;
 - (c) require forfeiture or redistribution of purse or award, when specified by applicable rules;
 - (d) place a licensee on probation;
 - (e) suspend a license or racing privileges;
 - (f) revoke or cancel a license;
 - (g) exclude from grounds under the jurisdiction of the Commission; or any relief deemed appropriate.
- (8) The judges may suspend a horse from participation in racing.
- (9) The judges may suspend a license for not more than (___) per violation; or they may impose a fine in accordance with the applicable statute for each violation; or they may suspend and fine; or they may order that a person be ineligible for licensing.
- (10) The judges shall submit a written report to the Commission of every inquiry and hearing.
- (11) A judges' ruling shall not prevent the Commission from imposing a lesser or more severe penalty.
- (12) The judges may refer any matter to the Commission and may include recommendations for disposition. The absence of a judges' referral shall not preclude Commission action in any matter.
- (13) Purses, prizes, awards, and trophies shall be redistributed if the judges or Commission order a change in the official order of finish.
- (14) All fines imposed by the judges shall be paid to the Commission within ___ after the ruling is issued, unless otherwise ordered.

E. Protests, Objections and Complaints

The judges shall investigate promptly and render a decision in every protest, objection and complaint made to them. They shall maintain a record of all protests, objections and complaints. The judges shall file daily with the Commission a copy of each protest, objection or complaint and any related ruling.

F. Judges' Presence

A board of judges shall be present in the judges' stand 15 minutes before the first race and remain in the stand at all times when the on-site medical team is on premises, in place, and ready to provide medical assistance.

G. Order of Finish for Pari-Mutuel Wagering

- (1) The judges shall determine the official order of finish for each race in accordance with the rules of the race (Chapter 24).

- (2) The decision of the judges as to the official order of finish, including the disqualification of a horse or horses as a result of any event occurring during the contesting of the race, shall be final for purposes of distribution of the pari-mutuel wagering pool.

H. Records and Reports

- (1) The judges shall prepare a daily report, on a form approved by the Commission, detailing their actions and observations made during each day's race program. The report shall contain the name of the racetrack, the date, the weather and track conditions, claims, inquiries, and objections and any unusual circumstances or conditions. The report shall be signed by each judge and be filed with the Commission not later than ___ hours after the end of each race day.
- (2) The presiding judge shall maintain a detailed log of the judges' official activities. The log shall describe all questions, disputes, protests, complaints or objections brought to the attention of the judges and all interviews, investigations and rulings made by the judges. The log shall be available at all times for inspection by the Commission or its designee.
- (3) Not later than seven days after the last day of a race meeting, the presiding judge shall submit to the Commission a written report regarding the race meeting. The report shall contain:
 - (a) the judges' observations and comments regarding the conduct of the race meeting and the overall conditions of the association grounds during the race meeting; and
 - (b) any recommendations for improvement by the association or action by the Commission.
- (4) The judges shall conduct an investigation of any accidents or incidents to determine the cause thereof, and the judges shall completely fill out an accident/incident report and transmit it to the USTA. Judges shall report to the USTA the details of the incident for each horse involved. In connection with the investigation of an accident, the judges shall have the authority to require any driver or other person involved in the accident to submit to testing for the personal use of alcohol and/or drugs.

Version 13.1 to 14 May 7, 2025 added Subsection 4

I. Judges' List

- (1) The judges shall maintain a Judges' List of the horses which are ineligible to be declared in a race.
- (2) A horse that is unfit to race because it is dangerous, unmanageable or unable to show a performance to qualify for races at the race meeting, or otherwise unfit to race at the race meeting may be placed on the Judges' List by the presiding judge and declarations and/or entries on the horse shall be refused. The owner or trainer shall be notified of such action and the reason shall be clearly stated. The judges shall post and maintain a current Judges' List in the racing office. When any horse

is placed on the Judges' List, the clerk of the course/field representative shall make an entry on the eligibility certificate of such horse, showing the date the horse was put on the Judges' List, the reason, and the date of removal, if the horse has been removed.

- (3) No presiding judge or other official at a fair race meeting shall have the power to remove from the Judges' List and accept as an entry any horse which has been placed on a Judges' List and not subsequently removed therefrom for the reason that the horse is dangerous or an unmanageable horse. Such race meetings may refuse declarations and/or entries on any horse that has been placed on the Judges' List and has not been removed therefrom.
- (4) Any horse put on the Judges' List as unmanageable or dangerous must qualify in a satisfactory manner for the judges at least two times.
- (5) The judges may put any horse on the Judges' List for performance when such horse shows a reversal of form or does not race near its own capabilities. Such horse shall qualify in a time comparable to its known capabilities from one to three times, at the discretion of the judges, before being declared.
- (6) The judges may put any horse on the Judges' List for being noncompetitive or unfit to race at the race meeting.
- (7) The judges may place a horse on the Judges' List when there exists a question as to the exact identification, ownership or management of said horse.
- (8) A horse which has been placed on the Judges' List because of questions as to the exact identification or ownership of said horse, may be removed from the Judges' List when, in the opinion of the judges, proof of exact identification and/or ownership has been established.
- (9) A horse placed on the Judges' List can only be removed from the Judges' List by the judges.

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

Version 3.2 to 3.3 ARCI 12/7/05: Amended new rule language

Version 12.1.3 to 13.0 03/14/2024; Amended A Removed ROAP

Version 13.0 to 13.1 08/12/2024 Amended F Added language ...15 minutes...

ARCI-020-020 RACING SECRETARY

A. General Authority

The racing secretary is responsible for setting the conditions for each race of the race meeting, supervise the nomination of entries and determining the amounts of purses, and to whom they are due. The racing secretary shall check and verify the eligibility of all horses entered.

B. Eligibility

The racing secretary is responsible for verifying the eligibility of all horses competing at the track or stabled on association grounds.

C. Claiming Authorizations

The racing secretary is responsible for maintaining the claiming authorizations of all declared horses.

D. List of Nerved Horses

The racing secretary shall maintain a list of nerved horses that are on association grounds and shall post the list for inspection in the racing office by other licensees participating in the race meeting.

E. Race Information

The racing secretary shall be familiar with the age, class and competitive ability of all horses racing at the race meeting.

F. Classifications

The racing secretary shall classify horses in accordance with these rules and list horses in the categories in which they qualify.

G. Listing of Horses

The racing secretary shall:

- (1) examine all entry forms and declarations to verify information as set forth therein; and
- (2) select the horses to start and the also eligible horses from the declarations in accordance with these rules.
- (3) provide the listing of horses in the daily program.

H. Nominations and Declarations

The racing secretary shall examine nominations and declarations and early closing events, late closing events and stakes events to verify the eligibility of all declarations and nominations and compile lists thereof for publication.

I. Conditions

The racing secretary shall establish the conditions and eligibility for entering races and cause them to be published to owners, trainers and the Commission and be posted in the racing secretary's office.

J. Posting of Entries

Upon completion of the draw each day, the racing secretary shall post a list of entries in a conspicuous location in racing office and make the list available to the media.

K. Stakes and Added Money Records

The racing secretary shall be caretaker of the permanent records of all stakes and shall verify that all added monies due are paid prior to declaration for races conducted at the race meeting.

L. Winnings

- (1) For the purpose of establishing conditions, winnings shall be considered to include all monies and prizes won up to the time of the start of a race.
- (2) Winnings during the year shall be calculated by the racing secretary from the preceding January 1.

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

ARCI-020-025 PADDOCK JUDGE

A. General Authority

The paddock judge shall be responsible for and not limited to:

- (1) ensuring that the horses are on the racetrack for post parades in accordance with the schedule issued by the judges;
- (2) inspection of horses for changes of equipment, broken or faulty equipment, proper saddle pads, and head numbers;
- (3) supervision of paddock gate operators;
- (4) proper check-in and check-out of horses and drivers; direction of the activities of the paddock horseshoer; and
- (5) ensuring that only properly authorized persons are permitted in the paddock.

B. Report to the Judges

The paddock judge shall:

- (1) notify the judges of anything that could in any way change, delay or otherwise
- (2) affect the racing program; and report to the judges any observed cruelty to a horse; and
- (3) any other perceived violations of these rules.

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

ARCI-020-028 HORSE IDENTIFIER

A. General Authority

The horse identifier shall be present for each race. The horse identifier shall inspect each horse prior to its departure from the paddock to the post to confirm the horse's proper identity by checking the horse's tattoo number, color and markings, and freeze brand if applicable.

B. Report Violations

The horse identifier shall report to the judges any horse not properly identified in conformity with these rules.

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

ARCI-020-030 CLERK OF THE COURSE/FIELD REPRESENTATIVE

General Authority

The clerk of the course/field representative shall be responsible for verifying the eligibility records provided by the USTA/SC and recording therein all required information and:

- (1) names and addresses of owners, trainers, and drivers;
- (2) the standard symbols for medications, where applicable;
- (3) notations of placings, disqualifications and claimed horses;
- (4) notations of scratched or barred horses;
- (5) provide an eligibility record to the horse's owner or the owner's representative when requested.

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

ARCI-020-035 OFFICIAL STARTER

A. General Authority

- (1) No person shall be licensed as a Starter until he/she has successfully completed a written examination and satisfied the Commission that he/she has the necessary qualifications to perform the required duties.
- (2) Notwithstanding the provisions of paragraph 1. Of this rule, the Commission may grant Starter licenses restricted to starting horses in matinee races, time performances or meetings not exceeding ten days in duration within a calendar year.
- (3) The Starter shall:
 - (a) Be subject to the supervision of the judges;
 - (b) Be present in the starting gate at least fifteen minutes before the first race;
 - (c) Have control over the horses from the formation of the post parade until the field is released at the starting point;
 - (d) Notify the judges of all violations of the rules, giving detailed information thereof;
 - (e) Notify drivers charged with violations of starting rules and grant a hearing before any penalties are assessed;
 - (f) Act as a patrol judge when requested by the judges; and
 - (g) Submit to a physical and/or eye examination when requested by the Commission.

B. Starter's List

The official starter shall school horses as may be necessary and shall prepare a list of horses not qualified to start, which shall be delivered to the judges and the racing secretary and entered on the Starter's List. The Starter's List shall be posted in the racing secretary's office. No horse on the Starter's List shall be eligible to declare until removed from the List.

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

ARCI-020-040 OFFICIAL CHARTER

General Authority

The official charter is responsible for providing a complete and accurate chart of each race. An accurate chart shall include the following:

- (1) horse's name;
- (2) driver's name;
- (3) date and place of the race;
- (4) track size, if other than a half-mile track;
- (5) track condition and temperature;
- (6) type of race (trot or pace);
- (7) classification of race;
- (8) distance;
- (9) fractional times of the leading horse, including the race time;
- (10) post position, position at the 1/4-mile, the 1/2-mile and the 3/4-mile poles and at the head of the stretch with lengths behind the leader and finish position with lengths behind the winner;
- (11) official order of finish;
- (12) individual time of each horse;
- (13) closing dollar odds (with favorite designated by an asterisk);
- (14) the standard symbols for breaks, interference breaks, interference, broken equipment, park outs, and free legged pacers, where applicable;
- (15) the standard symbols for medications, where applicable; in claiming races, the price for which the horse is entered to be claimed less allowances for age and sex;
- (16) names of the horses placed first, second and third by the judges; and notations of placings, disqualifications and claimed horses.

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

ARCI-020-045 OFFICIAL TIMER

A. General Authority

The official timer shall accurately record the time elapsed between the start and finish of each race.

B. Timing Procedure

The time shall be recorded from the instant that the first horse crosses the starting point until the first horse reaches the finish line and each quarter mile shall also be recorded on the leading horse.

C. Timing Races

- (1) In every race, the time of each heat shall be accurately recorded by two timers or an approved electrical timing device, in which case, there shall be one timer.
- (2) Times of heats shall be recorded in minutes, seconds and fifths of a second.
- (3) Immediately following each heat, the elapsed time of the heat shall be publicly announced and/or posted on the totalisator board.
- (4) No unofficial time shall be announced, posted or entered into the official record.

D. Error in Reported Time

- (1) In circumstances involving an error in timing, no time shall be announced, posted or recorded for that heat.
- (2) In any case of alleged error regarding a horse's official time, the time in question shall not be changed to favor the horse or its owner, except upon the sworn statement of the judges and official timers who officiated in the race.

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

ARCI-020-050 PATROL JUDGE

General Authority

The patrol judge, when utilized, is responsible for observing the race and reporting information concerning the race to the judges. If the track's video replay system is deemed adequate by the Commission, use of patrol judges is optional.

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

ARCI-020-055 PROGRAM DIRECTOR

General Authority

The program director is responsible for furnishing the public complete and accurate past performance information.

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

ARCI-020-060 OFFICIAL VETERINARIAN

A. General Authority

The official veterinarian shall:

- (1) be employed by the Commission;
- (2) be a graduate veterinarian and be licensed to practice in this jurisdiction;
- (3) recommend to the judges any horse deemed unsafe to be raced, or a horse that it would be inhumane to allow to race;
- (4) place horses on the Veterinarian's List, when necessary, and remove horses from the Veterinarian's List;
- (5) place horses on the Bleeder List and remove horses from the Bleeder List;
- (6) maintain a continuing health and racing soundness record of each horse given a racing soundness inspection;

- (7) have the authority to supervise and control the Test Barn;
- (8) supervise the taking of all specimens for testing according to procedures approved by the Commission;
- (9) provide proper safeguards in the handling of all laboratory specimens to prevent tampering, confusion or contamination;
- (10) have authority and jurisdiction over the racing veterinarian and the practicing licensed veterinarians on the association grounds for the purpose of these rules;
- (11) report to the Commission the names of all horses humanely destroyed or which otherwise expire at the race meeting and the reasons therefore;
- (12) maintain all required records of postmortem necropsy examinations performed on horses which have died on association grounds;
- (13) refrain from directly treating or prescribing for any horse scheduled to participate during the official veterinarian's term of appointment at any recognized race meeting except in cases of emergency, accident or injury;
- (14) refuse employment or payment, directly or indirectly, from any owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the official veterinarian for the Commission;
- (15) review and make recommendations regarding Commission license applications of practicing veterinarians;
- (16) cooperate with practicing veterinarians and other regulatory agencies regarding medication issues and to take measures to control communicable and/or reportable equine diseases;
- (17) 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;
- (18) 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
- (19) provide the judges with a written statement regarding the nature and seriousness of all laboratory reports of prohibited substances in equine samples.

B. Veterinarian's List

A horse scratched by a recommendation of a veterinarian for either lameness or sickness will be put on the Veterinarian's List and shall not be removed for ____ days. No entries will be accepted on these horses until the ____-day period has expired.

C. Starting and Finishing Inspection

The official 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.

D. Equine Infectious Anemia

No horse shall be admitted to any racetrack facilities in this jurisdiction without having had a negative official test for equine infectious anemia within 12 months.

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

ARCI-020-065 RACING VETERINARIAN

General Authority

The racing veterinarian shall:

- (1) be directly responsible to the official veterinarian;
- (2) be a graduate veterinarian and be licensed to practice in this jurisdiction;
- (3) be available to the racing secretary and/or judges each racing day at a time designated by the judges, to inspect any horses and report on their condition as may be requested by the judges;
- (4) inspect any horse when there is a question as to the physical condition of such horse;
- (5) recommend scratching a horse to the judges if, in the opinion of the racing veterinarian, the horse is physically incapable of exerting its best effort to win;
- (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 the racing veterinarian's opinion as to the cause of the distress to the judges and to the official veterinarian;
- (7) refrain from directly treating or prescribing for any horse scheduled to participate during racing veterinarian's term of appointment at any recognized race meeting except in cases of emergency, accident or injury;
- (8) refuse employment or payment, directly or indirectly, from any owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the racing veterinarian;
- (9) 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;
- (10) conduct soundness inspections on horses participating in races at the race meeting;
- (11) with approval of the official veterinarian, place horses on the Bleeder List; with approval of the official veterinarian, place horses on or remove them from the Veterinarian's List.

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

ARCI-020-070 ANY OTHER PERSON DESIGNATED BY THE COMMISSION

The Commission may create additional racing official positions, as needed. Persons selected for these positions shall be considered racing officials and shall be subject to the general eligibility requirements outlined in Section 020-010 B of this chapter.

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

Duties and Requirements of Associations (Race Meet Licensees) - Chapter 21

ARCI-021-005 Purpose

To describe the duties, facilities, equipment and operations of associations.

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

ARCI-021-010 General Duty

- (1) An association, its officers, directors, officials and employees shall abide by the Act and enforce the rules and orders of the Commission and judges.
- (2) An association may request an exemption from a requirement in this chapter to utilize new technology or innovative construction or design of the racetrack facilities. The Commission may grant an exemption if the Commission determines that:
 - (a) the association's proposal substantially satisfies the purpose of the requirement; and
 - (b) the exemption is in the best interests of the racehorses, the racing industry and the citizens of this jurisdiction.

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

ARCI-021-015 Financial Requirements

A. Insurer of the Race meeting

- (1) Approval of a race meeting by the Commission does not establish the Commission as the insurer or guarantor of the safety or physical condition of the association's facilities or purse of any race.
- (2) An association shall agree to indemnify, save and hold harmless the Commission from any liability, if any, arising from unsafe conditions of association grounds and default in payment of purses.
- (3) An association shall provide the Commission with a certificate of liability insurance as required by the Commission.
- (4) An association shall maintain in an approved depository, those amounts deducted from the pari-mutuel handle for distribution for the purposes specified in the Act and Commission rules.
- (5) An association and its managing officers are jointly and severally responsible to ensure that the amounts retained from the pari-mutuel handle are distributed according to the Act and Commission rules and not otherwise.
- (6) An association and its managing officers shall ensure that all purse monies, disbursements and appropriate nomination race monies are available to make timely distribution in accordance with the Act, Commission rules, association rules and race conditions.

B. Bond Requirements

- (1) An association shall file with the Commission a bond payable to (jurisdiction) in an amount determined by the Commission for pari-mutuel racing and in either case not more than the financial liability of the association permit throughout the race meeting for which the association permit is requested.
- (2) The bond shall be executed by the applicant and a surety company or companies authorized to do business in this jurisdiction, and conditioned upon the payment by the association licensee of all
- (3) taxes and other monies due and payable pursuant to statutory provisions and all monies due from horsemen's accounts and payable, presentation of winning tickets, the licensee will distribute all sums due to the patrons of pari-mutuel pools.
- (4) The financial liabilities incurred by the association licensee in the form of real estate mortgages shall not be included in the determination of the bond amount.

C. Financial Reports

- (1) The Commission may require periodic audits to determine that the association has funds available to meet those distributions for the purposes required by the Act, Commission rules, the conditions and nomination race program of the race meeting and the obligations incurred in the daily operation of the race meeting. An association shall file a copy of all tax returns, a balance sheet and a profit and loss statement.
- (2) An association shall file with the Commission an unaudited balance sheet and profit and loss statement as required by the Commission. Those submissions must be in a format which conforms with the requirements set out in the association license application.
- (3) An association shall file an annual audit with the Commission within ___ days after the association's fiscal year-end. The Commission, upon good cause shown, may extend the time for filing.

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

ARCI-021-020 FACILITIES AND EQUIPMENT

A. Facilities for Patrons and Licensees

- (1) An association shall ensure that the public areas of the association grounds are designed and maintained for the comfort and safety of the patrons and licensees and are accessible to all persons with disabilities as required by law.
- (2) An association shall provide and maintain adequate restroom facilities for the patrons and licensees.
- (3) An association shall provide an adequate supply of free drinking water.
- (4) An association shall maintain all facilities on association grounds to ensure the safety and cleanliness of the facilities at all times.
- (5) During a race performance, the association shall provide:

- (a) a first aid room equipped with at least two beds and other appropriate equipment; and
 - (b) the services of at least one physician, a nurse practitioner or paramedic.
- (6) An association shall provide a properly equipped for transport ambulance, staffed with at least one certified paramedic during training and one state certified paramedic and one emergency medical technician, or the equivalent, that are equipped with, at a minimum, a basic life support system, during racing. At no time shall the ambulance be left unattended. The ambulance shall be licensed to operate on public highways and ready for immediate transportation to a medical facility.
- (7) If the ambulance is being used to transport an individual, the association must not allow any horses on the racetrack or conduct a race until the ambulance is replaced.
- (8) Unless otherwise approved by the Commission or the judges, an ambulance shall follow the field at a safe distance during the running of races.
- (9) The ambulance must be parked with direct proximity, clear visibility, and immediate access to the racetrack during the period beginning thirty (30) minutes prior to post time for the first race of the program except when the ambulance is being used to transport an individual or when it is following the field during the running of a race.
- (10) An association shall provide adequate office space for the use of the judges and other Commission personnel as required by the Commission.
- (11) The location and size of the office space, furnishings and equipment required under this section must be approved by the Commission.
- (12) An association shall promptly post Commission notices in places that can be easily viewed by patrons and licensees.

B. Officials' Stands

An association shall provide adequate stands for officials to have a clear view of the racetrack. The location and design of the stands must be approved by the Commission.

C. Audio and Visual Equipment

- (1) An association shall provide and maintain in good working order a communication system between the:
- (a) judges' stand;
 - (b) racing office;
 - (c) tote room;
 - (d) paddock; (e) test barn;
 - (f) starting gate;
 - (g) video camera locations;
 - (h) veterinarian;
 - (i) track announcer;
 - (j) location of the ambulances (equine and human); and (k) Commission track office.

- (1) other locations and persons designated by the Commission.
- (2) An association shall provide and maintain a public address system capable of clearly transmitting announcements to the patrons and to the stable area.
- (3) An association shall provide an electronic photo finish device with mirror image to photograph the finish of each race and record the time of each horse in at least fifths of a second. The location and operation of the photo finish devices must be approved by the Commission before its first use in a race. The association shall promptly post a photograph of each photo finish for win, place or show in an area accessible to the public. The association shall ensure that the photo finish devices are calibrated before the first day of each race meeting and at other times as required by the Commission. On request by the Commission, the association shall provide, without cost, a print from a negative of a photo finish to the Commission. Photo finish negatives of each race shall be maintained by the association for not less than six months after the end of the race meeting, or such other period as may be requested by the judges or the Commission.
- (4) An association shall provide a videotaping system approved by the Commission.
- (5) Cameras must be located to provide clear panoramic and head-on views of each race. Separate monitors, which simultaneously display the images received from each camera and are capable of simultaneously displaying a synchronized view of the recordings of each race for review shall be provided in the judges' stand. The location and construction of video towers must be approved by the Commission.
- (6) The judges may, at their discretion, direct the video camera operators to videotape the activities of any horse or person handling horses prior to, during, or following a race.
- (7) Races must be recorded by at least three video cameras.
- (8) An association shall, upon request, provide to the Commission, without cost, a copy of a videotape of a race.
- (9) Videotapes recorded prior to, during and following each race shall be maintained by the association for not less than six months after the end of the race meeting, or such other period as may be requested by the judges or the Commission.
- (10) An association shall provide a viewing area in which, on approval by the judges, an owner, trainer, driver or other interested individual may view a videotape recording of a race.
- (11) Following any race in which there is an inquiry or objection, the association shall display to the public on designated monitors the videotaped replays of the incident in question which were utilized by the judges in making their decision.

D. Racetrack

- (1) The surface of a racetrack must be designed, constructed and maintained to provide for the safety of the drivers and horses.

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- (2) Prior to the first race meeting at an association racetrack, a licensed surveyor shall provide to the Commission a certified report of the grade and measurement of the distances to be run.
- (3) Distances to be run shall be measured from the starting line at a distance three feet out from the inside rail or other fixed marker.
- (4) The surveyor's report must be approved by the Commission prior to the first race day of the race meeting.
- (5) An extended pari-mutuel racetracks shall be responsible for executing proper racetrack maintenance. The regulation should consist of the following:
 - (a) Standardbred Racetrack Surfaces
 1. Staff: Each racetrack will dedicate a minimum of two staff for the sole purpose of maintaining the racing surface during live events
 2. Track grading: All racetracks will fully grade the racing surface at least two weeks prior to the commencement of the racing season. In addition to this, racetracks that race 55 dates or fewer will fully grade the racing surface every 30 days or as necessary.
 3. Material: An adequate supply of surface material must be available throughout the racing season. The minimum standard racetrack surface is to be $\frac{1}{2}$ to 1 inch thick. The cushion will be from the bottom of a jogging horse toe imprint to the top of the material.
 4. Conditioning: After every race, weather permitting, maintenance staff must groom the racetrack surface. Grooming will include one or more of the following tasks: watering, screening, harrowing or conditioning.
 - (b) Racetrack Operators
 1. Racetrack operators will ensure the minimum standards are maintained. In addition, each racetrack will have available by request of the state racing authority the reports on daily maintenance of the track racing surface.
 2. If requested, all Racetrack Operators will make available to the state racing authority daily log books which contain the following:
 - (a) daily maintenance of track racing surface
 - (b) staffing schedules
 - (c) dates and times the racing surface was groomed
 - (d) employee assigned to conduct work
 - (e) amount of water utilized
 - (f) amount of aggregate material utilized and,
 - (g) weather conditions
 3. Racetrack Operators will provide equipment to ensure track is maintained properly. Equipment shall consist of but not be limited to: harrow/conditioner, screen and water truck. In addition, Racetrack Operators will be responsible for equipment and maintenance logs to the state racing authority at their request.
 4. Prior to a race card, a representative from the Horsemen's Committee will communicate with the judges and the Track Operator or their designee regarding the current conditions of the racing surface.

E. Rails

The design and construction of rails, where used, must be approved by the Commission prior to the first race meeting at the track.

F. Starting Gates

During racing hours, an association shall provide at least two operable starting gates, which have been approved by the Commission.

G. Distance Markers

- (1) An association shall provide starting point markers and distance poles in a size and position that is clearly seen from the judges' stand.
- (2) All poles and markers shall be positioned at least ten feet off the inside rail.
- (3) The starting point markers and distance poles must be marked as follows:
 - (a) 3/4 pole - Red and white horizontal stripes
 - (b) 1/2 pole - Red and white horizontal stripes
 - (c) 1/4 pole - Red and white horizontal stripes
 - (d) 1/8 poles - Green and white horizontal stripes
 - (e) 1/16 poles - Black and white horizontal stripes
 - (f) Fair Start Pole - Yellow
- (4) The fair start pole shall be erected at a point before the start that is clearly identifiable. If a horse has not reached the fair start pole when the horses are released at the starting point by the starter, the judges shall cause the inquiry sign to be displayed immediately and shall order that all wagers on the horse be refunded.

Adopted in version 9.1 ARCI 08/09/2019 Saratoga: added rule language.

D (5) (6) Amended in Version 9.5 ARCI 10/30/2020 Expanded (5) with subsections (a) and (b) and removed section (6) as it was no longer necessary with the expansion of (5)

Version 13.0 to 13.1 08/12/2024 Amended A, (6), (7), (8) and (9)

H. Saddle Pad Colors

- (1) All pari-mutuel racetracks shall adopt the following color format for saddle pad colors for post positions in each race:
 - (a) Post Position One - Red
 - (b) Post Position Two - Blue
 - (c) Post Position Three - White
 - (d) Post Position Four - Green
 - (e) Post Position Five - Black
 - (f) Post Position Six - Yellow
 - (g) Post Position Seven - Pink

- (h) Post Position Eight - Gray
 - (i) Post Position Nine - Purple
 - (j) Post Position Ten - Blue/Red
 - (k) Post Position Eleven - Light Blue
 - (l) Post Position Twelve - Red/White
- (2) All saddle pad numbers, with the exception of post positions three and five, shall be white with a black border. The saddle pad numbers for post positions three and five shall be solid black and solid white, respectively.

I. Lighting

- (1) An association shall provide lighting for the racetrack and the patron facilities that is adequate to ensure the safety and security of the patrons, licensees and horses.
- (2) Lighting to ensure the proper operation of the videotape and photo finish equipment must be approved by the Commission.
- (3) An association shall provide adequate additional lighting in the stable area as required by the Commission.
- (4) If an association conducts racing at night, the association shall maintain a back-up lighting system that is sufficient to ensure the safety of race participants and patrons.

J. Equine Ambulance

- (1) An association shall provide an equine ambulance staffed by trained personnel on association grounds on each day that the racetrack is open for pari-mutuel and qualifying racing or training.
- (2) The ambulance must be properly ventilated and kept at an entrance to the racing strip when not in use.
- (3) The ambulance must be a covered vehicle that is low to the ground and large enough to accommodate a horse in distress. The ambulance must be able to:
 - (a) navigate on the racetrack during all weather conditions; and (b) transport a horse off the association grounds.
- (4) The ambulance must be equipped with:
 - (a) large, portable screens to shield a horse from public view;
 - (b) ramps to facilitate loading a horse;
 - (c) adequate means of loading a horse that is down;
 - (d) a rear door and a door on each side;
 - (e) a padded interior;
 - (f) a movable partition to initially provide more room to load a horse and to later restrict a horse's movement;
 - (g) a shielded area for the person who is attending to the horse; and
 - (h) an adequate area for the storage of water and veterinary drugs and equipment.

- (5) An association may not conduct a race unless an equine ambulance or an official veterinarian-approved substitute is readily available.
- (6) The equine ambulance, its supplies and attendants and the operating procedures for the equine ambulance must be approved by the official veterinarian.

K. Barns

- (1) An association shall provide barns containing a sufficient number of stalls to accommodate all horses approved to race and all other horses approved to be on the grounds. The association's stable area configuration and facilities must be approved by the Commission.
- (2) An association shall ensure that the barns are kept clean and in good repair. Each barn, including the receiving barn, must have a hot and cold water supply available, be well-ventilated, have proper drainage, and be constructed to be comfortable in all seasons.
- (3) An association shall ensure that each horse is stabled in an individual box stall with minimum dimensions of 10 by 10 feet.
- (4) An association shall provide an adequate area for the placement of manure removed from the stalls. All manure must be removed from the stable area daily.
- (5) The association shall ensure that refuse from the stalls and other refuse are kept separate.

L. Test Barn

- (1) An association shall provide a test barn for taking specimens of urine, blood or other bodily substances or tissues for testing.
- (2) The test barn must be equipped with:
 - (a) a walk area that is large enough to accommodate ___ horses;
 - (b) at least ___ enclosed stalls that permit observation of the collection process and provide for the protection of collection personnel;
 - (c) facilities and equipment for the collection, identification and storage of samples;
 - (d) a washrack that is large enough to accommodate ___ horses at the same time;
 - (e) hot and cold running water and clean water buckets for each horse.
- (3) An association shall limit access to the test barn to persons authorized by the official veterinarian. All entrances shall be locked or guarded at all times.

M. Isolation Area

- (1) An association shall provide an isolation area for the care and treatment of a horse that is ordered isolated by the racing veterinarian or the official veterinarian.
- (2) The isolation area must be approved by the official veterinarian.

N. Warning Light System

Every extended pari-mutuel track member shall be equipped with a three-light system of green, yellow and red beacon style lights and sirens for use in the event of an accident. It shall be the duties of the judges to monitor, control and trigger the accident-warning lights. From the time medical assistance is available, the judges will activate the green “all clear” light to signal no known problems on the racetrack.

(1) If at any point during the card the judges determine there is a condition on the racetrack requiring the drivers to proceed with caution, the judges will activate the yellow “caution” warning light.

(2) The judges shall activate the red light and siren to declare a race a “no contest” due to safety issues. Upon the activation of the red light and siren, all drivers in a race will immediately cease racing and follow any instructions of the judges, starter, track announcer, or racing officials to get off the track as quickly and safely as they can. Drivers refusing to stop racing may be subject to a monetary penalty or suspension.

(3) When the red “no contest” light is turned off, the judges will activate the green “all clear” light as a signal for warm-ups and live racing to resume.

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

Amended 021-20 Facilities and Equipment (D)(5)(6) to add subsections (a)(b) on racetrack management

Version 13.0 to 13.1 08/12/2024 Added Section N

ARCI-021-025 OPERATIONS

A. Security

- (1) An association conducting a race meeting shall maintain security controls over its premises. Security controls are subject to the approval of the Commission.
- (2) An association may establish a system or method of issuing credentials or passes to restrict access to its restricted areas or to ensure that all participants at its race meeting are licensed as required by these rules.
- (3) An association shall prevent access to and shall remove or cause to be removed from its restricted areas any person who is unlicensed, or who has not been issued a visitor's pass or other identifying credential, or whose presence in such restricted area is unauthorized.
- (4) Unless otherwise authorized by the Commission, an association shall provide continuous security in the stable area during all times that horses are stabled on the grounds. An association shall require any person entering the stable area to display valid credentials issued by the Commission or a visitor's pass issued by the association. An association shall provide security fencing around the stable area in a manner that is approved by the Commission.
- (5) On request by the Commission, an association shall provide a list of the security personnel, including the name, qualifications, training, duties, duty station, and area supervised by each employee.
- (6) Each day, the chief of security for an association shall deliver a written report to the judges regarding occurrences on association grounds on the previous day.

- (7) Not later than 24 hours after an incident occurs requiring the attention of security personnel, the chief of security shall deliver to the judges a written report describing the incident. The report must include the name of each individual involved in the incident, the circumstances of the incident and any recommended charges against each individual involved.

B. Fire Prevention

- (1) An association shall develop and implement a program for fire prevention on association grounds. An association shall instruct employees working on association grounds of the procedures for fire prevention.
- (2) Not later than ___ days before the first day of a race meeting, an association shall deliver to the Commission a copy of the fire marshal's certification regarding the association's compliance with fire safety regulations or the fire marshal's plan of correction. The certification or plan must be based on an inspection of the association grounds conducted by the fire marshal not more than 30 days before the first day of a race meeting.
- (3) No person shall:
- (a) smoke in stalls, feed rooms, or under shed rows;
 - (b) burn open fires, or oil, or gas lamps in the stable area;
 - (c) leave unattended any electrical appliance that is plugged-in to an electrical outlet;
 - (d) permit horses to come within reach of electrical outlets or cords;
 - (e) store flammable materials such as cleaning fluids or solvents in the stable area;
 - or
 - (f) lock a stall which is occupied by a horse.
- (4) An association shall post a notice in the stable area which lists the prohibitions outlined in 3a)-f) above.

C. Insect and Rodent Control

An association and the licensees occupying the association's barn area shall cooperate in procedures to control insects, rodents or other hazards to horses or licensees.

D. Race Card

The hours of racing, the number of races per race day, and the post time for the first race of each race day are subject to the approval of the Commission.

E. Complaints

- (1) An association shall designate a location and provide personnel who shall be readily available to the public to provide or receive information.
- (2) An association shall promptly notify the Commission of a complaint regarding:
- (a) an alleged violation of the Act or a rule of the Commission;
 - (b) an alleged violation of ordinances or statutes;
 - (c) accidents or injuries; or

(d) unsafe or unsanitary conditions for patrons, licensees or horses.

F. Ejection and Exclusion

- (1) An association shall immediately eject from the association grounds a person who is subject to such an exclusion order of the Commission or judges and notify the Commission of the ejection.
- (2) An association may eject or exclude a person for any lawful reason. An association shall immediately notify the judges and the Commission in writing of any person ejected or excluded by the association.

G. Biosecurity Protocols

The racetrack is required to have biosecurity protocols in place based on the Biosecurity Protocols established by the American Association of Equine Practitioners. (See Appendix A)

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

Adopted in Version 12.1 ARCI 6/27/23 Indianapolis: Added Subsection G

HARNESS RACING LICENSING AND DUTIES OF LICENSEES – CHAPTER 22

ARCI-022-005 Purpose

To provide requirements and procedures for granting, refusing, suspending and revoking of licenses, as well as general duties and requirements for individuals holding specific occupational licenses.

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

ARCI-022-010 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, driver, veterinarian, veterinary assistant, horseshoer, and stable employees);
 - (b) racing officials (including a board of judges, racing secretary, paddock judge, horse identifier, clerk of the course/field representative, official starter, charter, timer, photo finish technician, patrol judge, official veterinarian, and racing veterinarian);
 - (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 parimutuel wagering is being conducted; and (d) all Commission employees where applicable.
- (2) Persons required to be licensed shall submit a completed application on forms furnished by the Commission and accompanied by the required fee.
- (3) 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 a valid permanent (not temporary) licenses issued by racing jurisdictions in North America. A fingerprint check within the previous 36 months, or such other period as is required by this jurisdiction.

- (1) The Commission may recognize the issuance of racing licenses from jurisdictions in North America for the purpose 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 Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police (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 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-State Licensing Information

In lieu of a license application from this jurisdiction, the Commission may accept a North American Pari-Mutuel Regulators Association (NAPRA) or an Association of Racing Commissioners International (RCI) Multi-State License Application.

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 the applicant's 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 and Distribution of Information

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

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. Any drugs, medication or other materials seized may be forwarded by the Commission to the official chemist for analysis. Any seized material may be forfeited.

G. Protection of Horses

Each person licensed by the Commission shall do all that is reasonable and within the licensee's 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 declared or to be declared in a qualifying race or race, as prohibited by these rules.

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.

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- (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 1618 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 Judges

The Commission may designate categories of licenses which shall require judges' 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. If an applicant is refused, the applicant may reapply for a license and as may be provided by the Commission.

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.

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 or indictable offense;
 - (b) has been convicted of violating any law regarding gambling, a controlled dangerous substance, moral turpitude, or cruelty to animals;
 - (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 jurisdiction or other jurisdictions;
 - (g) has racing disciplinary charges pending in this jurisdiction 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 law because of age or citizenship;
 - (m) has violated any of the alcohol or substance abuse provisions outlined in these rules; or
 - (n) has been associated or consorted with an individual who has been convicted of a crime in any jurisdiction;
 - (o) has solicited or aided and abetted any other person in any act or conduct prohibited by law or the commission; or
 - (p) participated in any illegal meeting where racing occurred.
- (2) A license suspension or revocation shall be reported in writing to the applicant, the USTA/SC and the RCI, whereby other racing jurisdictions shall be advised.

Q. License Restrictions, Limitations and Conditions

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

R. 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.

S. 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, pending criminal charges, criminal convictions, license suspensions of ____ days or more or license revocations or fines of \$_____ or more in other jurisdictions.

T. Temporary Licenses

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

U. More Than One License

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

V. Conflict of Interest

- (1) The Commission or its designee may refuse, deny, suspend or revoke the license of a person whose spouse holds a license and which the Commission or judges find to be a conflict of interest.
- (2) A commissioner or Commission employee or racing official shall not be an owner of a horse at a race meeting 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 declared 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 racing official; racetrack director, officer or managing employee; track maintenance supervisor or employee; racetrack security employee; horseshoer; veterinarian; photo finish operator; horsemen's bookkeeper; racing chemist, or testing laboratory employee.

W. License Presentation

- (1) A person shall present an appropriate license to enter a restricted area.
- (2) The judges 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.

X. Visitor's Pass

- (1) Licensed owners and trainers participating at that track may sign in guests, unless such are unacceptable to the Commission or association.
- (2) Track security may allow authorized unlicensed persons temporary access to restricted areas provided 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 Commission or its designee within 48 hours. Such authorization or credential may only be used by the person to whom it is issued.

Y. Safety Helmets

A protective helmet, race meeting the 1984 Standard for Protective Headgear (Snell Memorial Foundation), Laboratory Procedure for Motorcycle Helmet Testing (Federal Motor Vehicle Safety Standard No. 218, U.S. Department of Transportation) or Specification for Headgear Used in Horse Sports and Horse Back Riding (ASTM Standard F085.53, Draft #4, 1986) standards for protective harness racing headwear, securely fastened under the chin, must be worn at all times on association grounds when:

- (1) racing, parading, or warming up a horse prior to racing; or
- (2) jogging, training, or exercising a horse at any time.

Z. Safety Vests

- (1) A safety vest shall be worn when:
 - (a) racing, parading or warming up a horse prior to racing; or (b) jogging, training or exercising a horse at any time.
- (2) A safety vest shall:
 - (a) Cover the torso, front and back, from the collar bone to the hip bone;
 - (b) Be of uniform material and thickness over the whole of the vest except for localized:
 - (A) Variation due to pattern, for example, quilting.

- (B) Thinner areas to aid fit, for example, under the arms, at fastenings and at edges, and
 - (C) Thicker areas in regard to particularly sensitive areas of the body, for example, the spine; and
- (c) Equal or exceed a minimum shock absorbance rating of 5 according to the specifications established by the British Equestrian Trade Association (BETA) which are as follows:
- (A) Use a critical height apparatus to measure the maximum deceleration on impact of a striker consisting of a spherical indentor weighing 5.9 (+/- 0.05) Kilograms with a diameter of 215 (+/- 2) millimeters,
 - (B) Condition the vest and the striker for a minimum of 3 hours at 23° (+/- 2°) Centigrade.
 - (C) With the vest lying on a smooth, flat massive concrete base with the inside of the vest facing the striker and positioned so that the striker will impact on an area of typical thickness, not reinforced by additional material, raise and release the striker starting at a height of 0.2 meter and increasing the height by increments of 0.2 meter to a height which will result in a deceleration of over 300 gravity units ($1G=9.81 \text{ ms}^{-1}$) as measured by recording the signal from an accelerometer through the impact from the time before the striker impacts the vest until the accelerometer returns to the same level as before the impact.
 - (D) Record the gravity units measured at each height increment on a line graph which has the gravity units in ascending order as the vertical axis and the release height in meters in ascending meters as the horizontal axis.
 - (E) Plot the height in meters at which the deceleration reached 300 gravity units, and
 - (F) Multiply the height obtained in Section 3 Subsection (e) by 10 to calculate the shock absorbance rating.

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 judges any knowledge the licensee has that a perceived violation of these rules has occurred, is occurring, or may occur.

BB. Distribution of Rulings and Orders

All judges' rulings and orders of the Commission shall be distributed to NAPRA or RCI and made available to SC/USTA, and other regulatory bodies.

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: Deleted rule language

Version 17 12/21/23 Added P (1) (o) & (p) subject to future resolution; changed P(1) (o) to P (2) and removed NAPRA.

ARCI-022-015 - OWNERS

A. Licensing Requirements for Owners

- (1) Each person who has a five percent or more ownership or beneficial interest in a horse is required to be licensed. Beneficial interest includes: the owner; in the case of multiple ownership, all co-owners; all shareholders owning 5% or more of any class of stock and all officers and directors of any corporation, all general partners and those limited partners owning a 5% or more interest in such general or limited partnership, all stallion syndicate shareholders owning 5% or more interest in the stallion syndicate, all lessees, and all corresponding officers.
- (2) An applicant for an owner's license shall own or lease a horse which is eligible to race, registered with the racing secretary and under the care of a trainer licensed by the Commission. An owner shall notify the judges of a change in trainer. A horse shall not be transferred to a new trainer after entry.
- (3) The provisions of Rule 022-010, Sub-Title D notwithstanding, a horse owner of any age may apply for an owner's license. If younger than age of majority, an applicant for an owner's license shall submit a notarized affidavit from his/her parent or legal guardian stating that the parent or legal guardian assumes responsibility for the applicant's financial, contractual and other obligations relating to the applicant's participation in racing.
- (4) If the Commission or its designee has reason to doubt the financial responsibility of an applicant for an owner's license, the applicant may be required to complete a verified financial statement.
- (5) Horses not under lease must race in the name of the bona fide owner. Each owner shall comply with all licensing requirements.
- (6) The Commission or its designee may refuse, deny, suspend or revoke an owner's license for the spouse or member of the immediate family or household of a person ineligible to be licensed as an owner, unless there is a showing on the part of the applicant or licensed owner, and the Commission determines that participation in racing will not permit a person to serve as a substitute for an ineligible person. The transfer of a horse to circumvent the intent of a Commission rule or ruling is prohibited.

B. Licensing Requirements for Multiple Owners

- (1) If the legal owner of any horse is a partnership, corporation, limited liability company, syndicate or other association or entity, each shareholder, member or partner shall be licensed as required in Sub-Title A, Section 1 of this Rule.
- (2) Each partnership, corporation, limited liability company, syndicate or other association or entity shall disclose to the Commission all owners holding a five percent or greater beneficial interest, unless otherwise required by the Commission.

- (3) Each partnership, corporation, limited liability company, syndicate or other association or entity which includes an owner with less than a five percent ownership or beneficial interest shall file with the Commission an affidavit which attests that, to the best of their knowledge, every owner, regardless of their ownership or beneficial interest, is not presently ineligible for licensing or suspended in any racing jurisdiction.
- (4) To obtain an owner's license, an owner with less than a five percent ownership or beneficial interest in a horse shall establish a bona fide need for the license and the issuance of such license shall be approved by the Commission.
- (5) Application for joint ownership shall include a designation of a managing owner and a business address. Receipt of any correspondence, notice or order at such address shall constitute official notice to all persons involved in the ownership of such horse.
- (6) The written appointment of a managing owner or authorized agent shall be filed with the USTA/SC and the Commission.

C. Lease Agreements

A horse may be raced under lease provided the lease is in a form acceptable to the Commission and the lease is filed with the Commission and the USTA or SC. The lessor and lessee shall be licensed as horse owners.

D. Stable Name Registration

Licensed owners and lessees may adopt a stable name subject to approval of the Commission.

- (1) The applicant shall identify all persons using the stable name. Changes shall be reported immediately to the Commission and a copy sent to the USTA/SC.
- (2) A person who has registered a stable name may cancel it upon written notice to the Commission.
- (3) The stable name shall be published in the program.
- (4) If there are more than four owners of a horse, the licensed owners must register as a stable name.

E. Racing Colors

Drivers must wear distinguishing colors, and shall not be permitted to drive in a race or other public performance unless, in the opinion of the judges/judges, they are properly dressed, their driving outfits are clean and they are well groomed. During inclement weather conditions, drivers must wear rain suits in either of their colors or made of a transparent material through which their colors can be distinguished.

F. Transfer of Ownership

Once a horse has been registered with the Association of Racing Commissioners International said horse may not be transferred to a new owner, unless claimed, without permission of a board of stewards who may require a bill of sale signed by both buyer(s)

and sellers(s) and the transfer of ownership must be timely reported to the Association of Racing Commissioners International or its designee.

G. Standards of Conduct

Any person who, as the registered owner(s) of a horse that is currently racing, is found to be paying, either directly or indirectly, for training service on that horse an individual (i.e. payee) who is ineligible to be programmed as a trainer and is not stayed or under appeal shall be suspended for a minimum of sixty (60) days.

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

Version 5.9 to 6.0 ARCI Board of Directors 7/16/2015 Added ARCI-022-015(F) Transfer of Ownership

Version 8.5 to 9.0 ARCI Board of Directors 04/04/2019 Added ARCI-022-015 (G) Standards of Conduct

Version 13.0 to 13.1 ARCI Board of Directors 08/12/2024 Added last sentence to ARCI-022-015 (A)(1)

ARCI-022-020 TRAINERS

A. Eligibility

A person shall not train horses, or be programmed as trainer of record at race meetings, without being licensed by the Commission.

B. Trainer Responsibility

- (1) The trainer is responsible for the condition of horses declared in an official race and is responsible for the presence of any prohibited drug, medication or other substance, including permitted medication in excess of the maximum allowable level, in such horses. A positive test for a prohibited drug, medication or substance, including permitted medication in excess of the maximum allowable level, as reported by a Commission-approved laboratory, is prima facie evidence of a violation of this rule. In the absence of substantial evidence to the contrary, the trainer shall be responsible.
- (2) A trainer shall prevent the administration of any drug or medication or other prohibited substance that may cause a violation of these rules.
- (3) A trainer whose horse has been claimed remains responsible for any violation of rules regarding that horse's participation in the race in which the horse is claimed.

C. Other Trainer Responsibilities

A trainer is responsible for:

- (1) the condition and contents of stalls, tack rooms, feed rooms, sleeping rooms and other areas which have been assigned by the association;
- (2) maintaining the assigned stable area in a clean, neat and sanitary condition at all times;
- (3) ensuring that fire prevention rules are strictly observed in the assigned stable area;
- (4) providing a list to the Commission of the trainer's employees on association grounds and any other area under the jurisdiction of the Commission. The list shall include each employee's name, occupation, social security number and occupational license

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number. The Commission shall be notified by the trainer, in writing, within _____ hours of any change;

- (5) assuring the adequate care, custody, condition, fitness, health, safety, and security of horses under his/her care, custody, and control;
- (6) disclosure of the true and entire ownership of each horse in the trainer's care, custody or control;
- (7) training all horses owned wholly or in part by the trainer which are participating at the race meeting;
- (8) registering with the racing secretary each horse in the trainer's charge within 24 hours of the horse's arrival on association grounds;
- (9) ensuring that, at the time of arrival at a licensed racetrack, each horse in the trainer's care is accompanied by a valid health certificate which shall be filed with the racing secretary;
- (10) having each horse in the trainer's care that is racing, or is stabled on association grounds, tested for Equine Infectious Anemia (EIA) in accordance with state/provincial law and for filing evidence of such negative test results with the racing secretary;
- (11) using the services of those veterinarians licensed by the Commission to attend horses that are on association grounds;
- (12) immediately reporting the alteration of the sex of a horse in the trainer's care to the horse identifier and the racing secretary, whose office shall note such alteration on the certificate of registration;
- (13) promptly reporting to the racing secretary and the official veterinarian any horse on which a posterior digital neurectomy (heel nerving) is performed;
- (14) promptly notifying the official veterinarian of any reportable disease and any unusual incidence of a communicable illness of any horse in the trainer's charge;
- (15) promptly reporting the death of any horse in the trainer's care on association grounds to the judges and the official veterinarian and compliance with the rules in chapter 25 governing post-mortem examinations;
- (16) maintaining a record to be available to the commission or its designee for at least 6 months of all medication(s) administered to the horse under their care, custody, and control. Records should include, at a minimum, all of the following:
 - (a) the name of the horse
 - (b) the date of each medication administered
 - (c) the name, the dosage, and the route of medication administered
 - (d) the name of the Veterinarian, the Licensed Trainer, and/or any designee responsible for administering and prescribing the medication;
- (17) immediately reporting to the judges and the official veterinarian if the trainer knows, or has cause to believe, that a horse in the trainer's custody, care or control has received any prohibited drugs or medication;

- (18) representing an owner in making entries and scratches and in all other matters pertaining to racing;
- (19) horses declared as to eligibility;
- (20) ensuring the fitness of a horse to perform creditably at the distance declared;
- (21) ensuring that the trainer's horses are properly prepared and equipped. It shall be the responsibility of the trainer to see that each horse under his supervision is safely equipped for each race and if it is determined by the judges that a horse has been raced with unsafe or faulty equipment, the judges may impose a fine, suspension or both. The definition of "equipment" is what a horse wears to race. The definition does not include the saddle pads that are required to be attached to the harness prior to the respective race.
- (22) ensuring that all horses entered to compete are present on association property no less than five (5) hour prior to the scheduled post time of the race for which the horse is entered to compete. Horses not arriving on racing property less than five (5) hours prior to the scheduled post time of the race on the day for which the horse is entered to compete are subject to scratch, with discretion given to the judges to consider extenuating circumstances.
- (23) presenting the horse in the paddock at least ___ minutes before post time or at a time otherwise appointed before the race in which the horse has been declared;
- (24) personally attending to the horse in the paddock and supervising the preparation thereof, unless excused by the judges;
- (25) attending the collection of a urine or blood sample from the horse or delegating a licensed employee or the owner of the horse to do so; and
- (26) notifying horse owners upon the revocation or suspension of the trainer's license. Upon application by the owner, the judges may approve the transfer of such horses to the care of another licensed trainer, and upon such approved transfer, such horses may be declared to race.

D. Restrictions on Wagering

A trainer shall only be allowed to wager on the trainer's horse or entries to win or finish first in combination with other horses.

E. Substitute Trainers

If any licensed trainer is to be absent from the association grounds where the trainer's horse is programmed to race the judges shall be immediately notified and at that time a licensed substitute trainer, acceptable to the judges, shall be appointed to assume responsibility for the horse(s) racing during the absence of the regular trainer. The name of the substitute trainer shall appear on the program if possible. The original trainer shall be responsible for all horses declared by that trainer and the substitute trainer shall be responsible for all horses declared by the substitute trainer.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 5.2 to 5.3 ARCI Board 12/7/12 Expanded Other Trainer Responsibilities

Version 13.1 to 14 May 7, 2025 added language to section B (21).

ARCI-022-025 OWNERS' AUTHORIZED AGENTS

A. Licenses Required

- (1) An authorized agent shall obtain a license from the Commission.
- (2) Application for license may be required for each owner represented.
- (3) A written instrument signed by the owner shall accompany the application and shall clearly set forth the delegated powers of the authorized agent. The owner's signature on the written instrument shall be acknowledged before a notary public or Commissioner for Oath.
- (4) If the written instrument is a power of attorney it shall be filed with the Commission and attached to the application form.
- (5) Any changes shall be made in writing and filed as provided in 3 above.
- (6) The authorized agent's appointment may be terminated by the owner or authorized agent, in writing, and filed with the Commission.

B. Powers and Duties

- (1) A licensed authorized agent may perform on behalf of the licensed owner-principal all acts as relate to racing, as specified in the agency appointment, that could be performed by the principal if such principal were present.
- (2) In executing any document on behalf of the principal, the authorized agent shall clearly identify the authorized agent and the owner-principal.
- (3) When an authorized agent enters a claim for the account of a principal, the name of the licensed owner for whom the claim is being made and the name of the authorized agent shall appear on the claim slip or card.
- (4) Authorized Agents are responsible for disclosure of the true and entire ownership of each horse for which they have authority at a race meeting. Any change in ownership shall be reported immediately to, and approved by, the judges and recorded by the USTA/SC.

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

ARCI-022-030 DRIVERS

- (1) A person shall not drive a horse in any race or performance against time, other than an exhibition race, without being licensed by the Commission.
- (2) The judges may review the performance of a driver at any time and may take the following actions:
 - (a) amend the license category in accordance with USTA/SC license classifications;
 - (b) revoke the license;
 - (c) apply conditions to the license; or
 - (d) require the driver to re-qualify for the driver's license.

- (3) Drivers must report to the paddock judge at least one hour prior to post time of any race in which they are programmed to drive, unless excused by the judges.
- (4) A driver cannot decline to be substituted by the judges.
- (5) Once a driver reports to the paddock the driver shall not enter the public stands or the betting area until the driver's driving duties for the day have been completed. A driver shall not enter the public stands or betting area while wearing colors.
- (6) The judges may remove a driver at any time and substitute an alternate driver.
- (7) A driver shall not drive for any other person in a race in which one of the horses the driver trains or owns has been declared into race, except where such horses are coupled as an entry.
- (8) Drivers shall fulfill all engagements, unless excused by the judges.
- (9) In the event a driver is involved in an traumatic incident on or off the track that requires medical attention and that may affect the ability or fitness to perform, the driver must provide medical clearance from a medical professional stating that he/she can resume his/her duties.

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

Adopted in Version 9.1 ARCI 8/09/19, Amended with the addition of ARCI 022-030(9)

ARCI-022-033 EXERCISE DRIVERS

(repealed at Spring 2003 meetings) 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: Deleted rule

ARCI-022-035 PRACTICING VETERINARIANS

A. Eligibility

An applicant for a license as practicing veterinarian shall be qualified and licensed to practice veterinary medicine in this jurisdiction and be otherwise qualified to be issued a license to participate in racing. An application for a practicing veterinarian license from the Commission must be accompanied by a copy of the applicant's current license to practice veterinary medicine and approved by the official veterinarian.

B. Responsibility

- (1) All practicing veterinarians administering drugs, medications or other substances shall be responsible for ensuring that the drugs, medications or other substances and the veterinary treatment of horses are administered in accordance with these rules.
- (2) All practicing veterinarians shall promptly notify the official veterinarian of any reportable disease and any unusual incidence of a communicable illness of any horse on association grounds in the practicing veterinarian's care.

C. Restrictions on Wagering

A practicing veterinarian shall not wager on the outcome of any race if the practicing veterinarian has treated a horse participating in that race within the past 30 days.

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

ARCI-022-040 HORSESHOERS

Eligibility

An applicant for a license as horseshoer shall:

- (1) be at least 18 years of age;
- (2) be qualified by reason of experience, background and knowledge of horseshoeing, as determined by the judges after consulting with a veterinarian, a licensed trainer and a horseshoer who is currently licensed by the Commission. A horseshoer's license from another jurisdiction, having been issued within _____ years, may be accepted as evidence of experience and qualifications.
- (3) Evidence of qualifications may require passing one or more of the following:
 - (a) a written examination;
 - (b) an interview or oral examination; and
 - (c) a demonstration of practical skills in horseshoeing.

Applicants not previously licensed as a horseshoer shall be required to pass a written/oral examination, demonstrate practical skills and submit at least two written statements as to the character and qualifications of the applicant.

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

TYPES OF RACES - CHAPTER 23

ARCI-023-005 PURPOSE

To describe the various type of races that may be run in harness racing.

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

ARCI-023-010 TYPES OF RACES PERMITTED

In presenting a program of racing, the racing secretary shall use exclusively the following types of races:

A. Overnight Races

Overnight events include:

- (1) Conditioned races;
- (2) Claiming races;
- (3) Preferred, invitational, handicap, open or free-for-all races;
- (4) Schooling races; and
- (5) Matinee races

B. Added Money

Added money events include:

- (1) Stakes;
- (2) Futurities;

- (3) Early closing events; and
- (4) Late closing events
- (5) Sweepstakes

C. Match Races

D. Qualifying Races

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

ARCI-023-015 OVERNIGHT EVENTS

A. General Provisions

- (1) For the purpose of this rule, overnight events shall include conditioned, claiming, preferred, invitational, handicap, open, free-for-all, schooling or matinee races or a combination thereof.
- (2) At extended race meetings, condition sheets must be available to participants at least ___ hours prior to closing declarations to any race program contained therein. At other race meetings, conditions must be posted and available to participants at least ___ hours prior to closing declarations.
- (3) A fair and reasonable racing opportunity shall be afforded both trotters and pacers in reasonable proportion from those available and qualified to race.
- (4) Substitute races may be provided for each race program and shall be so designated in condition books sheets. A substitute race may be used when a regularly scheduled race fails to fill.
- (5) Regularly scheduled races or substitute races may be divided where necessary to fill a program of racing, or may be divided and carried over to a subsequent racing program, subject to the following:
 - (a) No such divisions shall be used in the place of regularly scheduled races which fill.
 - (b) Where races are divided in order to fill a program starters for each division must be determined by lot after preference has been applied, unless the conditions provide for divisions based upon age, performance, earnings or sex.
 - (c) A race may be divided into two or more divisions at the discretion of the racing secretary, whenever circumstances warrant.
 - (d) When a race is divided, the starting horses for each division are to be determined
 - (A) Firstly, by preference,
 - (B) Secondly, by owners, then trainers, for each division,
 - (C) Then, by lot, unless the conditions for the race otherwise specify.
 - (e) The conditions for the race are not to deprive a horse of an opportunity to race in a normal preference cycle.

B. Conditions

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- (1) Conditions shall be based only on:
 - (a) horses' money winnings in a specified number of previous races or during a specified previous time;
 - (b) horses' finishing positions in a specified number of previous races or during a specified period of time;
 - (c) age;
 - (d) sex;
 - (e) number of starts during a specified period of time;
 - (f) special qualifications for foreign horses that do not have a representative number of starts in the United States or Canada;
 - (g) the exclusion of schooling races; or
 - (h) any one or more combinations of the qualifications herein listed.
- (2) Conditions shall not be written in such a way that any horse is deprived of an opportunity to race in a normal preference cycle. Where the word preference is used in a condition, it shall not supersede date preference as provided in the rules. Not more than _____ also eligible conditions shall be used in writing the conditions for overnight events.
- (3) The Commission may, upon application from the racing secretary, approve conditions other than those listed above.
- (4) In the event there are conflicting published conditions and neither one nor the other is withdrawn by the association, the one more favorable to the declarer shall govern.
- (5) For the purpose of eligibility, a racing season or racing year shall be the calendar year. When recording winnings, gross winnings shall be used and cents shall be disregarded.
- (6) Records and time bars shall not be used as a condition of eligibility.
- (7) Horses must be eligible when declarations close subject to the provision that:
 - (a) wins and winnings on or after the closing date of declarations shall not be considered;
 - (b) age allowances shall be given according to the age of the horse on the date the race is contested.
 - (c) in mixed races, trotting and pacing, a horse must be eligible under the conditions for the gait at which it is stated in the declaration the horse.
- (8) When conditions refer to previous performances, those performances shall only include those in a purse race. Each dash or heat shall be considered as a separate performance for the purpose of condition races.
- (9) In overnight events, not more than one trailer shall be permitted, regardless of the size of the track except with the approval of the Commission. At least eight feet per horse must be provided the starters in the front tier.

- (10) The racing secretary or judges may reject the declaration to an overnight event of any horse whose past performance indicates that it would be below the competitive level of other horses declared to that particular event.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 13.0 to 13.1 08/12/2024 Amended (A)(5)(d)

ARCI-023-020 CLAIMING RACES

A. General Provisions

- (1) No horse will be eligible to start in a claiming race unless the owner has provided written authorization, which must include the minimum price for which the horse may be claimed, to the racing secretary prior to declaration. If the horse is owned by more than one party, all parties or the authorized agent must sign the authorization. Any question relating to the validity of a claiming authorization shall be referred to the judges who shall have the authority to disallow a declaration or scratch the horse if they deem the authorization to be improper.
- (2) The designated racing official shall cause to be transferred all changes in ownership of claimed horses as soon as practical.
- (3) The price allowances that govern for claiming races must be approved by the Commission. Claiming prices recorded on past performance lines in the daily race program and on eligibility certificates shall not include allowances.
- (4) The claiming price, including any allowances, of each horse shall be printed on the official program adjacent to the horse's program number and claims shall be for the amount designated, subject to correction if printed in error.
- (5) In handicap claiming races, in the event of an also eligible horse moving into the race, the also eligible horse shall take the place of the horse that it replaces provided that the handicap is the same. In the event the handicap is different, the also eligible horse shall take the position on the outside of horses with a similar handicap, except when the horse that is scratched is a trailing horse, in which case the also eligible horse shall take the trailing position, regardless of its handicap. In handicap claiming races with one trailer, the trailer shall be determined as the fourth best post position.
- (6) To be eligible to be claimed a horse must start in the event in which it has been declared to race. For the purposes of this rule, a horse shall be deemed to have started if it is behind the gate when the field is released at the starting point by the starter.

OR

- (7) The successful claimant of a horse programmed to start may, at the claimant's option, acquire ownership of a claimed horse, even though such claimed horse was scratched and did not start in the claiming race from which it was scratched. The

successful claimant must exercise their option by ____ of the next day following the claiming race to which the horse was programmed and scratched. No horse may be claimed from a claiming race unless the race is contested.

- (8) If a horse that has been drawn in to start in a claiming race is scratched for reason other than being ineligible to the race, the horse shall be subject to claim in its next start in this jurisdiction, provided such start occurs within ____ of the date of the scratch, regardless of type and condition of the race, at the claiming price it was subject to in the race in which it was scratched. Where a horse drawn in to start in a claiming race has been declared to start in a subsequent race, the successful claimant of the horse in the first race shall have the option of scratching the horse from the subsequent race and the above time frame provision of this section will not apply.
- (9) Any licensed owner or the authorized agent of such person who holds a current valid Commission license may claim any horse or any person who has properly applied for and been granted a claiming certificate shall be permitted to claim any horse. Any person or authorized agent eligible to claim a horse shall be allowed access to the grounds of the association, excluding the paddock, in order to effect a claim at the designated place of making claims and to take possession of the horse claimed.
- (10) Claiming certificates are valid on day of issue and expire _____. These certificates may be applied for at the Commission's licensing office prior to post time on any day of racing.
- (11) A claim shall be voided if a horse is a starter and the horse:
 - (1) Dies on the racetrack; or
 - (2) Suffers an injury which requires the euthanasia of the horse, as determined by a State veterinarian, while the horse is on the racetrack.
- (12) A claim is voidable at the sole discretion of the new owner, for a period of up to 1 hour after the race is made official, for any horse that:
 - (1) Is vanned off the track after the race at the discretion of the State or racetrack Veterinarian; or
 - (2) Is sent to the detention barn and observed to be lame by the State Veterinarian.

B. Prohibitions on Claims

- (1) A person shall not claim directly or indirectly the person's own horse or a horse trained or driven by him/her or cause such horse to be claimed directly or indirectly for his/her own account.
- (2) A person shall not directly or indirectly offer, or directly or indirectly enter into an agreement, to claim or not to claim or directly or indirectly attempt to prevent another person from claiming any horse in a claiming race.

- (3) An owner or prospective owner shall not have more than one claim on any one horse in any claiming race.
- (4) A person shall not directly or indirectly conspire to protect a horse from being claimed by arranging another person to lodge claims, a procedure known as protection claims.

C. Claiming Procedure

- (1) A person desiring to claim a horse must have the required amount of money on deposit with the horsemen's bookkeeper at the time the completed claim form is deposited.
- (2) The claimant shall provide all information required on the claim form provided by the association.
- (3) The claim form shall be completed and signed by the claimant prior to placing it in an envelope provided for this purpose by the association and approved by the Commission. The claimant shall seal the envelope and identify on the outside the date, race number and track name only.
- (4) The envelope shall be delivered to the designated area, or licensed delegate, at least 30 minutes before post time of the race from which the claim is being made. That person shall certify on the outside of the envelope the time it was received, the current license status of the claimant and whether credit in the required amount has been established.
- (5) It shall be the responsibility of the association to ensure that all such claim envelopes are delivered unopened or otherwise undisturbed to the judges prior to the race from which the claim is being made.
- (6) The claim box shall be opened and the claims, if any, examined by the judges prior to the start of the race. The judges shall verify with the horsemen's bookkeeper, that the claimant has on deposit in their account the amount equivalent to the specified claiming price and any other required fees and taxes. No official shall give any information on claims filed until after the race.
- (7) The judges shall disallow any claim made on a form or in a manner which fails to comply with all requirements of this rule.
- (8) When a claim has been lodged it is irrevocable, unless otherwise provided for in these rules.
- (9) In the event more than one claim is submitted for the same horse, the successful claimant shall be determined by lot by the judges, and all unsuccessful claims involved in the decision by lot shall, at that time, become null and void, notwithstanding any future disposition of such claim.
- (10) Upon determining that a claim is valid, the judges shall notify the paddock judge of the name of the horse claimed, the name of the claimant and the name of the person to whom the horse is to be delivered. Also, the judges shall cause a public announcement to be made.

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- (11) Every horse entered in a claiming race shall race for the account of the owner who declared it in the event, but title to a claimed horse shall be vested in the successful claimant from the time the horse is deemed to have started, and the successful claimant shall become the owner of the horse, whether it be alive or dead, or sound or unsound, or injured during or after the race.
- (12) A post-race urinalysis test may be taken from any horse claimed out of a claiming race. The trainer of the horse at the time of entry for the race from which the horse was claimed shall be responsible for the claimed horse until the post-race urine sample is collected.
- (13) Altering or removing a claimed horse's shoes shall not be permitted.
- (14) The license of a person who refuses to deliver a horse legally claimed out of a claiming race shall be suspended and the horse is not permitted to race until delivery is made.
- (15) A claimed horse shall not be eligible to start in any race in the name or interest of the owner of the horse at the time of entry for the race from which the horse was claimed for ___ days, unless reclaimed out of another claiming race. Nor shall such horse remain in or be returned to the same stable or care or management of the first owner or trainer for the same period, unless reclaimed out of another claiming race.
- (16) The claiming price shall be paid to the owner of the horse at the time entry for the race from which the horse was claimed only when the judges are satisfied that the successful claim is proper and the documentation has been received by the presiding judge for transfer to the new owner.
- (17) The judges, at the option of the claimant, shall rule a claim invalid if the horse has been found ineligible for the event from which it was claimed.
- (18) Mares and fillies who are in foal are ineligible for claiming races. Upon receipt of the horse, if a claimant determines within 48 hours that a claimed filly or mare is in foal, he/she may, at their option, return the horse to the owner of the horse at the time of entry for the race from which the horse was claimed.
- (19) When the judges rule that a claim is invalid and the horse is returned to the owner of the horse at the time of entry for the race in which the invalid claim was made:
 - (a) the amount of the claiming price and any other required fees and/or taxes shall be repaid to the claimant;
 - (b) any purse monies earned subsequent to the date of the claim and before the date on which the claim is ruled invalid shall be the property of the claimant;
and
 - (c) the claimant shall be responsible for any reasonable costs incurred through the care, training or racing of the horse while it was in claimant's possession.

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: Modify rule language

ARCI-023-025 ADDED MONEY EVENTS

A. General Provisions

- (1) All sponsors and presenters of added money events must comply with the rules and must submit to the Commission the conditions and other information pertaining to such events.
- (2) Any conditions contrary to the provisions of any of these rules are prohibited.

B. Conditions

Conditions for added money events must specify:

- (1) which horses are eligible to be nominated;
- (2) the amount to be added to the purse by the sponsor or presenter, should the amount be known at the time;
- (3) the dates and amounts of nomination, sustaining and starting payments;
- (4) whether the event will be raced in divisions or conducted in elimination heats, and;
- (5) the distribution of the purse, in percent, to the money winners in each heat or dash, and the distribution should the number of starters be less than the number of premiums advertised;
- (6) whether also eligible horses may be carded prior to the running heats or legs of added money events.

C. Requirements of Sponsors/Presenters

- (1) Sponsors or presenters of stakes, futurities or early closing events shall provide a list of nominations to each nominator or owner and to the associations concerned within ____ days after the date on which nominations close, other than for nominations payable prior to January 1st of a horse's two-year-old year.
- (2) In the case of nominations for futurities payable during the foaling year, such lists must be forwarded out prior to _____ of that year and, in the case of nominations payable in the yearling year, such lists must be forwarded out not later than _____ of that year.
- (3) Sponsors or presenters of stakes, futurities or early closing events shall also provide a list of horses remaining eligible to each owner of an eligible within ____ days after the date on which sustaining payments are payable. All lists shall include a resume of the current financial status of the event.
- (4) The Commission may require the sponsor or presenter to file with the Commission a surety bond in the amount of the fund to ensure faithful performance of the conditions, including a guarantee that the event will be raced as advertised and all funds will be segregated and all premiums paid. Commission consent must be obtained to transfer or change the date of the event, or to alter the conditions. In any instance where a sponsor or presenter furnishes the Commission with substantial evidence of financial responsibility satisfactory to the Commission, such evidence may be accepted in lieu of a surety bond.

D. Nominations, Fees and Purses

- (1) All nominations to added money events must be made in accordance with the conditions.
- (2) Dates for added money event nominations payments are:
 - (a) Stakes: The date for closing of nominations on yearlings shall be _____. The date foreclosing of nominations to all other stakes shall fall on the fifteenth day of a month.
 - (b) Futurity: The date for closing of nominations shall be _____ of the year of foaling.
 - (c) Early Closing Events: The date for closing of nominations shall fall on the first or fifteenth day of a month. Nominations on two-year-olds shall not be taken prior to _____.
 - (d) Late Closing Events: The date for closing of nominations shall be at the discretion of the sponsor or presenter.
 - (e) Dates for added money event sustaining payments are:
 - (f) Stakes and Futurities: Sustaining payments shall fall on the fifteenth day of a month. No stake or futurity sustaining fee shall become due prior to (Month) 15th of the year in which the horses nominated become two years of age.
 - (g) Early and Late Closing Events: Sustaining payments shall fall on the _____ or _____ day of a month.
- (3) The starting fee shall become due when a horse is properly declared to start and shall be payable in accordance with the conditions of the added money event. Once a horse has been properly declared to start, the starting fee shall be forfeited, whether or not the horse starts. Should payment not be made ___ minutes before the post time of the event, the horse may be scratched and the payment shall become a liability of the owner who shall, together with the horse or horses, be suspended until payment is made in full, providing the association notifies the Commission within _____ days after the starting date.
- (4) Failure to make any payment as required by the conditions constitutes an automatic withdrawal from the event.
- (5) Conditions that will eliminate horses nominated to an event, or add horses that have not been nominated to an event by reason of performance of such horses at an earlier race meeting, are invalid.
- (6) Early and late closing events shall have not more than _____ also eligible conditions.
- (7) The date and place where early and late closing events will be raced must be announced before nominations are taken. The date and place where stakes and futurities will be raced must be announced as soon as determined but, in any event, such announcement must be made no later than _____ of the year in which the event is to be raced.

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- (8) Deductions may not be made from nomination, sustaining and starting payments or from the advertised purse for clerical or any other expenses.
- (9) Every nomination shall constitute an agreement by the person making the nomination and the horse shall be subject to these rules. All disputes and questions arising out of such nomination shall be submitted to the Judges.
- (10) Nominations and sustaining payments must be received by the sponsor or presenter not later than the hour of closing, except those made by mail must bear a postmark placed thereon not later than the hour of closing. The hour of closing shall be _____ o'clock of the due date.
- (11) If conditions require a minimum number of nominations and the event does not fill, the Commission and each nominator shall be notified within ___ days of the closing of nominations and a refund of nomination fees shall accompany such notice to nominators.
- (12) If conditions for early or late closing events allow transfer for change of gait, such transfer shall be to the lowest class the horse is eligible to at the adopted gait, eligibility to be determined at the time of closing nominations. The race to which the transfer may be made must be the one nearest the date of the event originally nominated to. Two-year-olds, three-year-olds, or four-year-olds, nominated in classes for their age, may only transfer to classes for the same age group at the adopted gait to the race nearest the date of the event they were originally nominated to, and entry fees to be adjusted.
- (13) A nominator is required to guarantee the identity and eligibility of nominations, and if this information is given incorrectly nominator may be fined, suspended, or expelled and the horse declared ineligible. If any purse money was obtained by an ineligible horse, the monies shall be forfeited and redistributed among those justly entitled to the same.
- (14) Early or late closing events must be contested if _____ or more betting interests are declared to start. If less horses are declared to start than required, the race may be declared off, in which case the total of nominations, sustaining and starting payments received shall be divided equally to the horses declared to start. Such distribution shall not be credited as purse winnings.
- (15) Stakes or futurities must be contested if one or more horses are declared to start. In the event only one horse, or only horses in the same interest start, it constitutes a walk-over. In the event no declarations are made, the total of nomination and sustaining payments shall be divided equally to the horses remaining eligible after payment to the last sustaining payment, but such distribution shall not be credited as purse winnings.
- (16) Associations shall provide stable space for each horse declared on the day before, the day of and the day following the race.
- (17) The maximum size of fields permitted in any added money event shall be no more than one trailer unless otherwise approved by the Commission.

- (18) An association may elect to go with less than the number of trailers specified in 17 above.
- (19) In the event more horses are declared to start than allowed in one field, the race will be conducted in divisions or eliminations, as specified in the conditions.
- (20) In early closing races, late closing races and overnight races requiring entry fees, all monies paid in by the nominators in excess of ___ percent of the advertised purse shall be added to the advertised purse and the total shall then be considered to be the minimum purse. If the race is split and raced in divisions, the provisions of 22 below shall apply. Provided further that where overnight races are split and raced in eliminations rather than divisions, all starting fees payable under the provisions of this rule shall be added to the advertised purse.
- (21) Where a race other than a stake or futurity is divided, each division must race for at least ___ percent of the advertised purse.
- (22) In added money events conducted in eliminations, starters shall be divided by lot. Unless conditions provide otherwise, ___ percent of the total purse will be divided equally among the elimination heats. The final heat will be contested for ___ percent of the total purse. Unless the conditions provide otherwise, all elimination heats and the final heat must be raced on the same day. If the conditions provide otherwise, elimination heats must be contested not more than ___ days, prior to the date of the final heat. The winner of the final heat shall be the winner of the race.
- (23) The number of horses allowed to qualify for the final heat of an event conducted in elimination heats shall not exceed the maximum number permitted to start in accordance with the rules.
- (24) The judges' decisions in arriving at the official order of finish of elimination heats on the same program shall be final and irrevocable and not subject to appeal or protest.
- (25) Unless the conditions for the added money event provide otherwise the judges shall draw by lot the post positions for the final heat in elimination events, i.e. they shall draw positions to determine which of the two elimination heat winners shall have the pole, and which the second position; which of the two horses that were second shall start in the third position, and which in the fourth, etc.
- (26) In a two-in-three race, a horse must win two heats to win a race and there shall be ___ percent set aside for the race winner. Unless conditions state otherwise, the purse shall be divided and awarded according to the finish in each of the first two or three heats, as the case may be. If the number of advertised premiums exceeds the number of finishers, the excess premiums shall go to the winner of the heat. The fourth heat, when required, shall be raced for ___ percent of the purse set aside for the race winner. In the event there are three separate heat or dash winners and they alone come back in order to determine the race winner, they will take post positions according to the order of their finish in the previous heat. In a two-year-old race, if there are two heat winners and they have made a dead heat in the third heat, the race

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shall be declared finished and the one standing best in the summary shall be awarded the ___ percent. If the two heat winners make a dead heat and stand the same in the summary, the ___ percent shall be divided equally among them.

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

ARCI-023-030 CANCELLATION OF A RACE

In case of cancellation of races, see ARCI-024-020 "POSTPONEMENT AND CANCELLATION."

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

HARNES RACING RULES OF THE RACE - CHAPTER 24

ARCI-024-005 PURPOSE

To describe the requirements and the procedures for the running of a race.

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

ARCI-024-010 DECLARATIONS AND DRAWING

A. Declarations

- (1) Unless otherwise specified in the conditions, the declaration time shall be as follows:
 - (a) Extended pari-mutuel race meetings, _____ a.m.
 - (b) All other race meetings, _____ a.m.
- (2) The time when declarations close will be considered to be local time at the track where the race is being contested.
- (3) No horse shall be permitted to start in more than one race on any one racing day. Races decided by more than one heat are considered a single race.
- (4) The association shall provide a locked box with an aperture through which declarations shall be deposited.
- (5) The presiding judge shall be in charge of the declaration box.
- (6) Just prior to opening of the box at extended pari-mutuel race meetings where futurities, stakes, early closing or late closing events are on the program, the presiding judge shall check with the racing secretary to ascertain if any declarations by mail, telegraph, facsimile machine or otherwise, are in the office and not deposited in the entry box, and shall see that they are declared and drawn in the proper event. At other race meetings, the presiding judge shall ascertain if any such declarations have been received by the racing secretary and shall see that they are properly declared and drawn.

B. Drawing

- (1) The entry box shall be opened at the advertised time by the presiding judge, who shall ensure that at least one horseman or an official representative of the horsemen is present. No owner or agent for a horse with a declaration in the entry box shall be denied the privilege of being present. Under the supervision of the presiding judge, all entries shall be listed, the eligibility verified, preference ascertained, starters selected and post positions drawn. If it is necessary to reopen any race, public announcement shall be made at least twice and the box reopened to a definite time.
- (2) Subject to Commission approval, at non-extended race meetings in the event of the absence or incapacity of the presiding judge, the functions enumerated above may be performed by a person designated by said judge, for whose acts and conduct said judge shall be wholly responsible. If a substitution is made as herein provided, the name and address of the person so substituting shall be entered in the Judges' Book.

- (3) At extended race meetings in the event of the absence or incapacity of the presiding judge, the functions enumerated above may be performed by one or more associate judges who all have been designated by the presiding judge, prior to the start of the race meeting, in the form of a written notice to the Commission and to the association conducting the race meeting. A record shall be kept in the Judges' Book showing the name of the individual who performed such functions on each day of the race meeting.
- (4) In races of a duration of more than one dash or heat at pari-mutuel race meetings, the judges may draw post positions from the stand for succeeding dashes or heats.
- (5) Declarations by mail, telegraph, facsimile machine or telephone actually received and evidence of which is deposited in the box before the time specified to declare in, shall be drawn in the same manner as the others. Such drawings shall be final. Mail, telegraph, facsimile machine and telephone declarations must state the name and address of the owner or lessee; the name, color, sex, sire and dam of the horse; the driver's name and racing colors; the date of last start.
- (6) The racing secretary shall check the eligibility of the declaration including the number of starts, firsts, seconds, thirds, earnings and best winning time for the current year; and the event or events in which the horse is to be entered.
- (7) Failure to declare as required shall be considered a withdrawal from the event.
- (8) After declaration to start has been made no horse shall be withdrawn except by permission of the judges. A fine, not to exceed ____, or suspension may be imposed on the party for withdrawing a horse without permission. The horse may be suspended.
- (9) Where the person making the declaration fails to honor it and there is no opportunity for a hearing by the judges, this penalty may be imposed by a Commission representative after a hearing.
- (10) Drawings shall be final unless there is conclusive evidence that a horse properly declared was omitted from the race through the error of the association or its agent or employee in which event the horse shall be added and the race shall be re-drawn, provided the error is discovered prior to scratch time or the printing of the program, whichever is sooner.
- (11) In the event there are two tiers of horses, the withdrawing of a horse that has drawn or earned a position in the front tier shall not affect the position of the horses that have drawn or earned positions in the second tier, except as provided for in handicap claiming races. Whenever a horse is drawn from any tier, horses on the outside move in to fill up the vacancy. When there is only one trailer, it may start from any position in the second tier. When there is more than one trailer, they must start from inside any horse with a higher post position.

C. Qualifying Races

- (1) Qualifying races shall be held according to the demand as determined by the Commission.

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- (2) Qualifying standards shall be set at each track by the racing secretary and the judges. Standards for trotters will be two seconds slower than pacers.
- (3) At all extended pari-mutuel race meetings declarations for overnight events shall be governed by the following:
 - (a) Before racing at a chosen gait, a horse must go a qualifying race at that gait under the supervision of a licensed judge and acquire at least one clean charted line by a licensed charter. In order to provide complete and accurate chart information on time and beaten lengths, a standard photo finish shall be in use.
 - (b) Any horse that fails to race within ___ days of its last start must go a qualifying race as set forth in a) above. However, at any race meeting this period can be extended up to ___ days upon receiving approval of the Commission. The time period allowed shall be calculated from the date of the last race to and including the date of declaration.
 - (c) When a horse has raced at a charted race meeting and then gone on to race meetings where the races are not charted the information from the uncharted lines may be summarized including each start and consolidated in favor of charted lines to include a charted line within the last ___ days before the horse is permitted to race. The consolidated line shall carry date, place, time, driver, finish, track condition and distance.
 - (d) The judges may permit a horse to qualify by means of a timed workout consistent with the time of the races in which the horse will compete in the event adequate competition is not available for a qualifying race.
 - (e) When, for the purpose of qualifying the driver, a horse is declared in to race in a qualifying race, its performance shall be applicable to the horse's eligibility to race and the chart line shall be marked to indicate driver qualifying.
 - (f) If a horse takes a win race record in either a qualifying race or a matinee race, such record must be prefaced with the letter "Q" wherever it appears.
- (4) The use of hobbles from race to track shall be at the sole discretion of the trainer and not precipitate qualifying a horse. In addition to the foregoing, any horse regularly wearing hobbles and which is not on a qualifying list or Judges' List, is allowed one start without hobbles in a qualifying race; and this single performance shall not affect its eligibility to race with hobbles in a subsequent event to which it is declared.
- (5) A horse making a break in each of two consecutive races must qualify unless the breaks were equipment breaks or caused by interference.
- (6) A horse must qualify if:
 - (a) it is distanced for reasons other than interference, broken equipment or breaking stride; or
 - (b) it does not finish for reasons other than interference or broken equipment.
- (7) A charted line containing only a break or breaks caused by interference or an equipment break shall be considered a satisfactory charted line.

- (8) The judges shall use the interference break mark only when they have reason to believe that the horse was interfered with by another horse or the equipment of another horse.

D. Coupled Entries

When the starters in a race include _____ or more horses owned by the same person they shall be coupled as an "entry" and a wager on one horse in the entry shall be a wager on all horses in the entry. If the race is split in two or more divisions, horses in an entry shall be seeded. The above provisions shall also apply to elimination heats. The person making the declaration of a horse that qualifies as a coupled entry with another horse entered in the same event shall be responsible to designate the word "entry" on the declaration blank. The presiding judge shall be responsible for coupling horses. In addition to the foregoing, horses separately owned or trained may be coupled as an entry where it is necessary to do so to protect the public interest for the purpose of pari-mutuel wagering only. However, where this is done entries may not be rejected.

E. Also Eligibles

Not more than two horses may be drawn as also eligibles for a race and their positions shall be drawn along with the starters in the race. In the event one or more horses are excused by the judges, the also eligible horse or horses shall race and take the post position drawn by the horse that it replaces, except in handicap races. In handicap races the also eligible horses shall take the place of the horse that it replaces in the event that the handicap is the same. In the event the handicap is different, the also eligible horse shall take the position on the outside of horses with a similar handicap. No horse may be added to a race as an also eligible unless the horse was drawn as such at the time declarations closed. No horse may be barred from a race to which it is otherwise eligible by reason of its preference due to the fact that it has been drawn as an also eligible. The owner or trainer of such a horse shall be notified that the horse is to race and it shall be posted at the racing secretary's office. A horse moved into the race from the also eligible list cannot be withdrawn except by permission of the judges. All horses on the also eligible list and not moved in to race by (Time) on the day of the race shall be released.

F. Preference Dates

Preference dates shall be given to horses in all overnight events at extended pari-mutuel tracks in accordance with the following based on the date of the horse's last previous start in a purse race during the current year is its preference date with the following exceptions:

- (1) The preference date on a horse that has drawn to race and has been scratched is the date of the race from which scratched.
- (2) When a horse is racing for the first time in the current year, the date of the first declaration into a purse race shall be considered its preference date.
- (3) Wherever horses have equal preference in a race, the actual preference of said horses in relation to one another shall be determined from the most recent previous starts which do not result in equal preference.

- (4) When an overnight race has been re-opened because it did not fill, all eligible horses declared into the race prior to the re-opening shall receive preference over other horses subsequently declared, irrespective of the actual preference dates.

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

Section C (4) Amended in Version 9.5 on October 30, 2020 to add language qualifying with hobbles was at the trainer's discretion for each race

ARCI-024-015 TIMING AND RECORDS

A. Timing

- (1) Time trial performances are permitted subject to the following:
- (a) Test samples may be required for all horses starting for a time performance.
 - (b) An approved electric timer is required for all time performances. In the event of a failure of a timer during the progress of a time performance, no time trial performance record will be obtained.
 - (c) Time trial performances are permitted only during the course of a regular race meeting with the regular officials in the judges' stand.
 - (d) Time trial performances are limited for two-year-olds who go to equal or beat 2.10, and three-year-olds and over who go to equal or beat 2.05.
 - (e) Time trial performances shall be designated by preceding the time with two capital "T"s.
 - (f) When a horse performs against time, it shall be proper to allow other horses to accompany it in the performance but not to precede it, or be harnessed with it, or in any way attached to it.
 - (g) A break during a time trial is a losing effort and a losing performance shall not constitute a record.
- (2) The time of each heat or dash shall be accurately taken by two timers or an approved electric timing device, in which case there shall be one timer, and placed in the record in minutes, seconds and fifths of seconds, and upon the decision of each heat the time thereof shall be publicly announced or admitted to the record. When the timers fail to act, no time shall be announced or recorded.
- (3) The time shall be taken from the first horse leaving the point from which the distance of the race is measured until the winner reaches the wire.
- (4) The leading horse shall be timed and its time only shall be announced. No horse shall obtain a win race record by reason of the disqualification of another horse unless the horse's actual race time can be determined by photo finish or electronic timing.
- (5) In the case of a dead heat, the time shall constitute a record for the horses making the dead heat and both shall be considered winners.

B. Records

- (1) In order that performances thereon may be recognized or published as official, every association shall have filed with the Commission the certificate of a duly licensed civil engineer or land surveyor that the track has been measured from wire to wire three feet out from the inside hub rail or other fixed marker and certifying exactly the result of such measurement. Each track shall be measured and re-certified in the event of any changes or relocation of the hub rail or other fixed marker.
- (2) A record will be the fastest time made by a horse in a heat or dash which it won, or in a performance against time.
- (3) No time record shall be recognized as a world record if obtained on a track without an inside hub rail or other fixed marker.
- (4) In any case of alleged error in the record, announcement or publication of the time made by a horse, the time so questioned shall not be changed to favor said horse or owner, except upon the sworn statement of the judges and timers who officiated in the race.
- (5) If a horse takes a win-race record in a qualifying race such record must be prefaced with the letter "Q" wherever it appears.
- (6) For racing purposes, horses with foreign earnings shall such earnings converted to U.S. dollars at the rate as of January 1st of the year of the earnings and credited to the horse's official records. A winning performance at a mile or greater distance, expressed at a mile rate, shall receive recognition as the horse's record.
- (7) Any person found guilty of fraudulent misrepresentation of time or the alteration of the record thereof, in any race, shall be fined, suspended, expelled or a combination thereof and time declared not a record.

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: Amended new rule language

ARCI-024-020 POSTPONEMENT AND CANCELLATION

In case of unfavorable weather or other unavoidable cause, associations with the consent of the Judges shall postpone or cancel races in accordance with the following rules.

- (1) Added money events shall be postponed and rescheduled.
- (2) An early closing event or a late closing event that cannot be raced during the scheduled race meeting shall be declared off and the total of nomination, sustaining and starting payments divided equally among the owners of eligibles in proportion to the number of horses declared to start.
- (3) An early closing event or late closing event that has been started, but remains unfinished on the last day of the scheduled race meeting shall be declared ended and the full purse divided according to the summary.
- (4) Stakes and futurities should be raced where advertised and the race meeting may be extended to accomplish this. Any stake or futurity that has been started, but which remains unfinished on the last day of the scheduled race meeting shall be declared ended and the full purse divided according to the summary, except where the association elects to extend the race meeting to complete the race. Horses that are

scratched after a heat and before the race is declared finished shall not participate in purse distributions for subsequent heats in the event the race is called off and declared finished.

- (5) Unless otherwise provided in the conditions, in order to transfer stakes and futurities to another race meeting, unanimous consent must be obtained from the association and all those having eligibles in the event.
- (6) Overnight events may be postponed and rescheduled within two days, or may be cancelled if circumstances or weather conditions warrant. Postponed overnight events not raced within two days shall then be cancelled.
- (7) If the track conditions are questionable for the warming up or racing of horses, the judges shall convene a race meeting with the representative of the drivers and trainers and a representative of management. If required by the judges and the representative of the drivers and trainers shall conduct a secret ballot of the drivers and trainers of horses participating in that program of racing to determine whether racing should be conducted. If the vote of the drivers and trainers determines that more than ___ percent vote against racing, the card shall be cancelled. If more than ___ percent and less than ___ percent vote to race, trainers will be allowed to withdraw horses without penalty. If more than ___ percent vote to race, the regular rules of withdrawal and scratching of horses will apply.
- (8) Where a race is postponed pursuant to any of the foregoing provisions only those horses originally declared in to the postponed event shall to be eligible to race. Where a race is postponed and moved to another location, horses previously declared may withdraw without penalty.

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

ARCI-024-025 HORSES PERMITTED TO RACE

- (1) A horse shall be eligible to be declared in to race provided the following conditions have been met:
 - (a) the eligibility fee, which shall become due and payable when a horse makes its first start in any type of race in a calendar year, has been paid to the United States Trotting Association/Standardbred Canada, or a valid eligibility certificate has been granted for the horse by the United States Trotting Association and its Standardbred Canada eligibility fee has been paid.
 - (b) the horse has been registered in the current ownership with the Canadian Standardbred Horse Society or the United States Trotting Association;
 - (c) if leased, a copy of the lease which is acceptable to the commission is on file with United States Trotting Association/Standardbred Canada;
 - (d) the horse has qualified in accordance with the rules prior to the time of closing of;
 - (e) not more than ___ days prior to the time of closing of declarations, the horse was credited with a satisfactory charted past performance line obtained in a purse, qualifying race conducted at a charted race meeting;

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- (f) the horse is at least two years of age to race at any race meeting but not older than ___ years of age;
 - (g) the horse has been denerved by any method other than posterior digetal neurectomy. The decision at any given time whether the horse has been denerved shall be the Commission veterinarian's.
 - (h) if a horse is a spayed mare, that fact is noted on the program, registration certificate, eligibility certificate and the list of those horses posted on the horsemen's bulletin board, and the United States Trotting Association/Standardbred Canada has been notified in writing by the owner, trainer or veterinarian;
 - (i) the horse does not have a trachea tube or a hole in its throat for a trachea tube;
 - (j) the horse has unimpaired vision in at least one eye;
 - (k) the horse has been lip tattooed, freeze branded or identified by other approved methods in accordance with the constitution and by-laws and regulations of the United States Trotting Association/Canadian Standardbred Horse Society.
- (2) If a horse participates in a race or event after having been declared into a subsequent race or event it shall be ruled ineligible to the subsequent race or event and scratched if its performance in the initial race or event makes it ineligible under the rules. If the race or event from which the horse is scratched is an added money event, any starting fee paid or payable shall be forfeited.
- (3) Any participant who declares, or causes to be declared, an ineligible horse to start shall be guilty of a violation of the rules and subject to disciplinary action by the judges. If after declarations close, and prior to the race, the judges become aware that an ineligible horse has been declared, they shall immediately scratch the horse and starting fees, if applicable, shall be forfeited.
- (4) If the ownership of a horse changes, such horse may start under the new ownership not more than (Number of Times) without reasonable evidence being given to the judges that the registration certificate has been forwarded to the Canadian Standardbred Horse Society or the United States Trotting Association.
- (5) Any participant skipping or omitting transfers of ownership of any horse shall be guilty of a violation and subject to disciplinary action.
- (6) For the purposes of these rules, the term eligibility certificate shall refer to a printed document or its electronically produced equivalent.
- (7) Horses not under lease must race in the name of the bona fide owner unless the horse is leased in which case they must race under the name of the lessee.
- (8) Two-Year Olds – Two-year-olds must have at least two (2) days in between race days. No two-year-olds shall be permitted to start in a heat or race exceeding one (1) mile in distance and no two-year-old shall be permitted to race in more than one (1) heat or dash in any single day. Starting any two-year-old in violation of this Rule shall result in the horse being disqualified from the second start.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02
Version 13.1 to 14 May 7, 2025 added subsection (8)

ARCI-024-030 EQUIPMENT

A. Sulkies

- (1) All racing sulkies must meet the standards as approved by the United States Trotting Association prior to being used in any sanctioned races.
- (2) It shall be the responsibility of the owner, trainer or driver to provide every sulky used in a race with solid one-color or colorless wheel discs on the inside and outside of the wheel. In his or her discretion the presiding judge may order the use properly affixed mud fenders and mud aprons.

Adopted in version 9.1 ARCI 08/09/19: added ARCI 024-030(2) language on wheel discs

B. Other Equipment

Any change in equipment must be approved by the judges and be shown on the program

- (1) Any owner or trainer who wishes to change any equipment or hobbles on a horse from one race to another shall apply in writing no later than at the time of declaration to the judges.
- (2) No horse will be permitted in a race to wear any type of equipment that covers, protrudes, or extends beyond its nose or that in any way could interfere with the true placing of the horse.
- (3) All buckles on front hobble hangers and driving line buckles attached to the bit are required to be taped.

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: Modify rule language

Version 13.0 to 13.1 08/12/2024 Added (3) to Section B – Other Equipment

ARCI-024-035 RACING RULES

A. Under Supervision of Starter

- (1) Horses shall be under supervision of the starter from the time they arrive on the track until the start of the race.
- (2) All horses shall parade from the paddock to the starting post, and no driver shall dismount without the permission of the starter. Attendants may not care for the horses during the parade except by permission of the starter.
- (3) After entering the track not more than ___ minutes shall be consumed in the parade of the horses to the post except in cases of unavoidable delay.

- (4) Horses awaiting post time may not be held on the backstretch in excess of ____ minutes, except when delayed by an emergency.

B. Fair Start

The starter shall give such orders and take such measures that do not conflict with the rules of racing, as are necessary to secure a fair start.

C. Starting

- (1) The starter shall have control of the formation of the parade until giving the word "go."
- (2) After one or two preliminary warming up scores, the starter shall notify the drivers to come to the starting gate. During or before the parade the drivers must be informed as to the number of scores permitted.
- (3) The horses shall be brought to the starting gate as near one-quarter of a mile before the start as the track will permit.
- (4) Allowing sufficient time so that the speed of the gate can be increased gradually to ensure a fair and safe start.
- (5) The starting point will be a point marked at a designated spot not less than 200 feet from the first turn. The starter shall give the word "go" at the starting point.
- (6) When a speed has been reached in the course of a start there shall be no decrease except in the case of a recall.
- (7) Subject to the age, experience and post position of the horse and the condition of the racetrack, each horse in the first tier shall approach the starting gate reasonably in concert with the other horses in the field and shall be on the gate at the start. If the judges deem that a driver has laid off the gate and then charged it near the start in order to gain an advantage at the start, the driver shall be fined or suspended or both.

Adopted in version 9.1 ARCI 08/09/19; added ARCI 024-035 (7) language

D. Recall Rules

- (1) In case of a recall, a light plainly visible to the drivers shall be flashed and a recall sounded. In the case of a recall, whenever possible, the starter shall leave the wings of the gate extended and gradually slow the speed of the gate to assist in stopping the field of horses. In an emergency, however, the starter shall use his/her discretion to close the wings of the gate.
- (2) There shall be no recall after the word "go" has been give unless there is a mechanical failure of the starting gate.
- (3) Any horse, regardless of its position or an accident, shall be deemed a starter from the time it entered into the starter's control unless dismissed by the starter.
- (4) The starter shall attempt to dispatch all horses away in position and on gait but there shall be no recall for a breaking horse after the recall point is passed.

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- (5) In the event a horse causes two recalls, it shall be an automatic ruling of the judges that the offending horse be scratched.
- (6) The starter may sound a recall for the following reasons:
 - (a) a horse scores ahead of the gate;
 - (b) there is interference before the word "go" is given;
 - (c) a horse has broken equipment;
 - (d) a horse falls before the word "go" is given; (e) a mechanical failure of the starting gate; or
 - (f) a horse comes to the starting gate out of position.
- (7) There shall be a recall pole placed one-eighth of a mile before the starting point, before or at which point, at the discretion of the starter, there may be a recall for a breaking horse or horses not up to the gate. When the recall pole is passed, there shall be no recall for a breaking horse or a horse not up to the gate except as provided in 5 a)-f) above.
- (8) A fine and/or suspension may be applied to any driver by the starter and/or judges for:
 - (a) delaying the start;
 - (b) failure to obey the starter's instructions;
 - (c) rushing ahead of the inside or outside wing of the gate;
 - (d) coming to the starting gate out of position;
 - (e) crossing over before reaching the starting point;
 - (f) interference with another horse or driver during the start; or (g) failure to come up into position and remain in position.
 - (h) after coming to the gate, failure to keep one line in each hand until the word "go," except for the purpose of adjusting equipment.
 - (i) Aggravating factors for the penalty include advertised purse amount, or if the violation is deemed to have been committed in order to aid another horse with common ownership or a common trainer

Adopted in version 9.1 ARCI 08/09/19, Amended by adding ARCI 024-035(8) language

E. Starting Gate

- (1) No persons shall be allowed to ride in the starting gate except the starter and the driver or operator and a patrol judge, unless permission has been granted by the Judges.
- (2) Use of the loudspeaker for any purpose other than to give instructions to the drivers is prohibited. The volume shall be no higher than necessary to carry the voice of the starter to the drivers.
- (3) The arms of all starting gates shall be provided with a screen or shield in front of the position for each horse, and such arms shall be perpendicular to the rail.

- (4) The official starter must ensure that the starting gate is in good working order prior to the beginning of each race program.
- (5) The official starter and starting gate driver shall operate the starting gate in a manner consistent with the safe conduct of the race, the safety of the race participants and the safety of the patrons.

F. Two-Tiered Races

- (1) In the event there are two tiers of horses, the withdrawing of a horse that has drawn or earned a position in the front tier shall not affect the positions of horses that have drawn or entered positions in the second tier.
- (2) Whenever a horse is drawn from any tier, horses on the outside move in to fill the vacancy. Where a horse has drawn a post position in the second tier, the driver of such horse may elect to score out behind any horse in the front tier so long as it does not interfere with another trailing horse or deprive another trailing horse of a drawn position.
- (3) When there is only one trailer, it may start from any position in the second tier. When there is more than one trailer, they must start from inside any horse with a higher post position.
- (4) In a race with multiple trailers, the driver of the first horse in the second tier may elect to score out behind the first or second horse in the first tier. The horse drawing the second post in the second tier shall score behind the third or fourth horse in the first tier. The horse drawing the third post in the second tier shall score behind the fifth or sixth horse. Any horse drawing a post position outside those already referenced shall be placed in a consistent manner behind the appropriate horses from the first tier. If there are more trailers than designated post positions in the second tier as described above, the judges shall determine proper starting positions for the second tier horses.

Adopted in version 9.1 ARCI 08/09/2019 at Saratoga; added additional language for trailers

G. Horse Deemed a Starter

Horses shall be deemed to have started when the word "go" is given by the starter and all horses must go the course except in the case of an accident or injury in which it is the opinion of the judges that it is impossible to go the course.

H. Unmanageable/Bad Acting Horses

If, in the opinion of the judges and/or the starter, a horse is unmanageable or liable to cause accidents or injury to any other horse or to any driver, it shall be scratched and placed on the judges' list.

I. Post Positions, Heat Racing

- (1) The horse winning a heat shall take the inside position in the succeeding heat, unless otherwise specified in the published conditions of the race, and all others shall take their positions in the order they were placed in the prior heat.
- (2) When two or more horses dead heat, their positions shall be determined by lot.

J. Conduct of the Race

- (1) A leading horse is not to be more than four feet from the inside rail/pylons except after selecting his position in the home stretch. Neither the driver of the first horse nor any other driver in the race shall not commit any of the following acts which are considered violations of driving rules:
- (a) Change course or position, or swerve in or out, or bear in or out during any part of the race in such a manner as to compel a horse to shorten its stride or cause another driver to change course, take his or her horse back, or pull his/her horse out of its stride.
 - (b) Impede the progress of another horse or cause it to break from its gait.
 - (c) Cross over too sharply in front of another horse or in front of a field horses in a reckless manner endangering other drivers
 - (d) Crowd another horse or driver by 'putting a wheel under it.'
 - (e) Allow another horse to pass needlessly on the inside, or otherwise commit any other act that helps another horse to improve its position in the race by opening up a hole without then promptly pulling to re-pass the horse, unless the failure to re-pass is necessitated by safety reasons.
 - (f) Carry another horse out.
 - (g) Take up or slow up abruptly in front of other horses so as to cause confusion or interference among the trailing horses.
 - (h) Maintain an outside position without making the necessary effort to improve his/her overall position.
 - (i) Jostle, strike or hook wheels or physically interfere with another horse or driver, or otherwise drive in a careless manner or fail to maintain reasonable control of the horse at all times during the race. For any violation that results in contact with another horse, driver or bike, the driver shall receive a minimum driving suspension of three days.
 - (j) Lay off a normal pace and leave a hole when it is well within the horse's capacity to keep the hole closed.
 - (k) Swerve in and out or pull up quickly, unless such action is taken for the safety or welfare of the horse or driver.
 - (l) Change course after selecting a position in the home stretch or swerve in and out or bear in and out in such a manner as to interfere with another horse or cause him to change course or take back.
 - (m) Kicking shall be defined as a blow or thrust with the foot against any part of the horse's body or to impel by striking with the foot at any time on the racetrack, including before, during or after the race. Removal of a foot from the stirrups or any foot supports in and of itself is a violation. The penalty for kicking as defined herein shall not be less than nine days suspension.
 - (n) Cross the inside limits of the course.

- (o) Turn the horse abruptly after the finish line of the race in order to return to the paddock or barn area.
 - (p) Fail to set, maintain or properly contest a pace comparable to the class in which the driver is racing considering the horse's ability, track conditions, weather and circumstances confronted in the race.
 - (q) If any violation of the above occurs during a meeting and results in a suspension from driving, the suspension must be served by the driver during that meeting unless the appeal process carries beyond the end of the meeting, in which event the suspension must be served during the same time of year that a subsequent meeting is being conducted at that race track.
- (2) A complaint by a driver of any foul, violation of the rules or other misconduct during a race shall be made immediately after the race to which it relates, unless the driver is prevented from doing so by an accident or injury or other reasonable excuse. A driver desiring to enter a claim of foul, or other complaint of violation of the rules, shall make this known to the nearest patrol judge and shall proceed immediately to the paddock telephone to communicate immediately with the judges. The judges shall not cause the official sign to be posted until the matter has been dealt with.
- (3) A driver unless incapacitated shall be guilty of a violation for failure to report any infraction by another driver against him/her that occurred during a race, or for lodging a complaint which the judges deem to be frivolous.
- (4) If a violation is committed by a person driving a horse coupled as an entry the judges may set both horses back if, in their opinion, the violation may have affected the finish of the race, otherwise penalties may be applied individually.
- (5) In the case of interference, collision, or violation of any rules, the offending horse may be placed back one or more positions in that heat or dash, and in the event of such collisions, interference or violation preventing any horse from finishing the heat or dash, the offending horse may be disqualified from receiving any winnings and the driver may be fined or suspended. If a horse is set back, it must be placed behind the horse with which it interfered. If an offending horse has interfered with a horse involved in a dead heat and the offending horse is set back, it must be placed behind the horses in the dead heat.
- (6) If the judges believe that a horse is, or has been driven with design to prevent it winning a race or races, they shall consider it a violation by the driver.
- (7) If the judges believe that a horse has been driven in an inconsistent manner, they shall consider it a violation.
- (8) If the judges believe that a horse has been driven in an unsatisfactory manner due to lack of effort or a horse has been driven in an unsatisfactory manner for any other reason, they shall consider it a violation.
- (9) If a horse is suspected to have choked or bled during a race, the driver and/or trainer of that horse is required to report this to the judges immediately after the race. This information shall be contained in the official past performance line of that horse.

- (10) If, in the opinion of the judges, a driver is for any reason unfit or incompetent to drive, or is reckless in his/her conduct and endangers the safety of horses or other drivers in a race, after the positions have been assigned in the race he/she shall be removed and another driver substituted at any time and the offending driver may be subject to disciplinary action. The substitute driver shall be properly compensated.
- (11) A driver must be mounted in the sulky at all times during the race or the horse shall be placed as a non-finisher.
- (12) Shouting or other improper conduct in a race is forbidden.
- (13) Drivers shall keep both feet in the stirrups during the post parade and from the time the horses are brought to the starting gate until the race has been completed. Drivers shall be permitted to remove a foot from the stirrups or any foot supports temporarily during the course of the race solely for the purpose of pulling ear plugs or to adjust equipment and once same have been pulled the foot must be placed back into the stirrup. Drivers who violate this rule may be subject to disciplinary action.

Adopted in version 9.1 ARCI 8/09/19

- (14) The use of any goading device, chain, spur, mechanical or electrical device or any other device other than a whip as allowed in the rules, upon any horse, shall constitute a violation.
- (15) The possession of any mechanical or electrical goading device on the grounds of an association shall constitute a violation.
- (16) The judges/ judges shall have the authority to disallow the use of any equipment or harness that they feel is unsafe or not in the best interests of racing.
- (17) Whipping a horse by using the whip below the level of the shafts or the seat of the sulky or between the legs of the horse shall be a violation.
- (18) When a horse breaks from its gait, it shall be considered a violation on the part of the driver for:
 - (a) Failure to take the horse to the outside of other horses when clearance exists.
 - (b) Failure to properly attempt to pull the horse to its gait.
 - (c) Failure to lose ground while on a break.
 - (d) If no violation has been committed, the horse shall not be set back unless a contending horse on his/her gait is lapped on the hindquarter of the breaking horse at the finish. The judges may set any horse back one or more places if in their judgment, any of the above violations have been committed, and the driver may be penalized.
- (19) If, in the opinion of the judges, a driver allows a horse to break for the purpose of losing a race, the driver shall be subject to disciplinary action.
- (20) The horse whose nose reaches the finish line first is the winner. If there is a dead heat for first, both horses shall be considered winners. In races having more than one heat or dash, where two horses are tied in the summary, the winner of the longer dash or heat shall be entitled to the trophy. Where the dashes or heats are of the same distance and the horses are tied in the summary, the winner of the faster dash

or heat shall be entitled to the trophy. Where the dashes or heats are of the same time, both horses shall be considered winners and the entitlement of the trophy will be decided by lot.

- (21) If, during the preliminary scores or during a race a driver is unseated in such a manner that he or she falls to the ground, the judges may direct the driver to report to the infirmary or to the emergency department of the nearest hospital for examination and receive written clearance to continue with driving assignments on that day of racing.
- (22) If a horse is to warm up it must go its last warm-up on the same racing strip as it will compete on unless excused by the judges.
- (23) If for any cause other than being interfered with, or broken equipment, a horse fails to finish after starting a race, that horse shall be ruled out of any subsequent heat of the same event. If it is alleged that a horse failed to finish a race because of broken equipment, this fact must be reported to the paddock judge who shall make an examination to verify the allegation and report the findings to the judges.
- (24) Multiple Disqualifications. Should the judges determine more than one incident of interference is warranted in a race, they shall proceed as follows: (a) Resolve any/all incidents involving “lapped on breaks” at the finish,
 - (b) Initiate placings (where warranted) in the order in which they occur during the actual live race from the start to the finish of the race,
 - (c) Make a conscious effort to place and maintain as placed, every and all horse(s) placed behind others for interference. Adopted in version 9.1 ARCI 08/09/19 modified language

K. Use of the Whip

- (1) In any/all Standardbred races, drivers will be allowed only black whips not to exceed four (4) feet in total length, plus a snapper not longer than six (6) inches.
- (2) 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.
- (3) 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.
- (4) The whip shall be used in a conventional manner by holding the handle area at all times. Whipping is limited to wrist action with minimal elbow and/or shoulder movement.
- (5) Whipping below the shaft(s), including but not limited to the stifle area, is prohibited.
- (6) The following actions shall be considered as excessive and/or indiscriminate:
 - (a) Whipping a horse during post parade, scoring down or after the finish of the race;

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- (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, or;
 - (f) Use of any object or stimulating device and/or application.
- (7) 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.

Adopted in version 9.1 ARCI 08/09/19; modified and added language in items (1) and (13)

L. Hub rail

If at a racetrack which does not have a continuous solid inside hub rail, a horse or part of the horse's sulky leaves the course by going inside the hub rail or other demarcation which constitutes the inside limits of the course, the offending horse shall be placed one or more positions where, in the opinion of the judges, the action gave the horse an unfair advantage over other horses in the race, or the action helped the horse improve its position in the race. In addition, when an act of interference causes a horse or part of the horse's sulky to cross the inside limits of the course, and the horse is placed by the judges, the offending horse shall be placed behind the horse with which it interfered.

M. Passing Lane

- (1) With the approval of the commission, an association may extend the width of its homestretch up to ten feet inward in relation to the width of the rest of the track.
- (2) Horses using the passing lane must first have complete clearance of the pylons. Any horse or sulky running over the pylons and/or going to the inside of the pylons to clear shall be disqualified.
- (3) When a passing lane exists, a horse may not enter the passing lane except under the following conditions.
 - (a) When entering the final homestretch run.
 - (b) For the purpose of attempting to improve the horse's position.

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: Modify rule format

Version 4.1 to 4.2 ARCI 3/26/2008 Added language regarding multiple disqualifications

Version 4.4 to 4.5 ARCI 4/23/09 Amended language: whip rule

N. Disorderly Conduct

The following shall constitute disorderly conduct and be reason for a fine, suspension or revocation of a driver's or trainer's license:

- (1) Failure to obey judge's orders that are expressly authorized by the rules

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- (2) Failure to drive when programmed unless excused by the judges
- (3) Appearing in the paddock in an unfit condition to drive
- (4) Fighting
- (5) Assaults
- (6) Offensive and profane language
- (7) Smoking on the racetrack in driving colors during actual racing hours
- (8) Warming up a horse prior to a race without driving colors
- (9) Disturbing the peace
- (10) Refusal to take a breath analyzer test and/or any recognized test relative that shall produce immediate results or upon probable cause submit a body fluid sample when directed by the presiding judge
- (11) Failure to participate in the post parade at the prescribed time unless excused by the judges.

Adopted in version 9.1 ARCI 08/09/19 Saratoga

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: Rule topic change from Harness Racing Veterinary Practices, Equipment, Health and Medication

O. No Contest

1. Should an accident or malfunction of the starting gate, or other unforeseeable event compromise the fairness of the race or the safety of the race participants, the Judges may declare individual horses to be non-starters, exclude individual horses from all pari-mutuel pools or declare a “no contest” and refund all wagers except as otherwise provided in the rules involving multi-race wagers. Any race designated as “For Purse Money Only” shall also be treated as a “No Contest” for Pick (n) wagering purposes, with all runners considered winners.
2. The following items shall be considered before the Judge can declare a heat or a race a “no contest”:
 - a. In the event an accident occurs on the track during a heat or race and the field must pass the spot of the accident before the finish;
 - b. If one or more driver or horse is down;
 - c. If, in the opinion of the Judges, the safety of the drivers and horses are in jeopardy due to an incident;
 - d. If a horse is traveling clockwise; OR
 - e. In the event the racetrack is thrown into darkness during the progress of a race by failure of electricity.

Adopted in Version 12.1 ARCI 6/27/23 Indianapolis

Version 13.1 to Version 14 ARCI Board of Directors 5/7/25 added language to Section O, subsection 1 as to Pick (n) wagers

EQUINE VETERINARY PRACTICES, HEALTH AND MEDICATION - CHAPTER 25

ARCI-025-005 Purpose

To describe requirements and procedures used to ensure the health and welfare of racehorses and to safeguard the interests of the public and the participants in racing.

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: Deleted and modified rule language

ARCI-025-010 Veterinary Practices

A. Veterinarians under Authority of Official Veterinarian

Veterinarians licensed by the Commission and practicing at any location under the jurisdiction of the Commission are under the authority of the official veterinarian and the judges. The official veterinarian shall recommend to the judges or the Commission the discipline that may be imposed upon a veterinarian who violates the rules.

B. Appropriate Role of Veterinarians

The following limitations apply to drug treatments of horses that are engaged in activities, including training, related to competing in pari-mutuel racing in the jurisdiction.

- (1) No drug may be administered except in the context of a valid veterinarian/client/patient relationship between an attending veterinarian, the horse owner (who may be represented by the trainer or other agent) and the horse. The owner is not required by this subdivision to follow the veterinarian's instructions, but no drug may be administered without a veterinarian having examined the horse and provided the treatment recommendation. Such relationship requires the following:
 - a. The veterinarian, with the consent of the owner, has accepted responsibility for making medical judgments about the health of the horse;
 - b. The veterinarian has sufficient knowledge of the horse to make a preliminary diagnosis of the medical condition of the horse;
 - c. The veterinarian has performed an examination of the horse and is acquainted with the keeping and care of the horse;
 - d. The veterinarian is available to evaluate and oversee treatment outcomes, or has made appropriate arrangements for continuing care and treatment;
 - e. The relationship is maintained by veterinary visits as needed, and;
 - f. The veterinary judgments of the veterinarian are independent and are not dictated by the trainer or owner of the horse.
- (2) No prescription drug may be administered except as prescribed by an attending veterinarian.
- (3) The trainer and veterinarian are both responsible to ensure compliance with these limitations on drug treatments of horses, except the medical judgment to

recommend a drug treatment or to prescribe a drug is the responsibility of the veterinarian and the decision to proceed with a drug treatment that has been so recommended is the responsibility of the horse owner (who may be represented by the trainer or other agent).

C. Treatment Restrictions

- (1) Only licensed trainers, licensed owners, or their designees shall be permitted to authorize veterinary medical treatment of horses under their care, custody, and control at locations under the jurisdiction of the commission.
- (2) Prescriptions for horses at locations under the jurisdiction of the commission should be written and/or dispensed only by duly licensed veterinarians in the context of a valid veterinarian-client-patient relationship and based upon a specific medical diagnosis.
- (3) Except as otherwise provided by this subsection, no person other than a veterinarian licensed to practice veterinary medicine in this jurisdiction and licensed by the Commission may administer a prescription or controlled medication, drug, chemical or other substance (including any medication, drug, chemical or other substance by injection) to a horse at any location under the jurisdiction of the Commission.
- (4) Subsection C (3) does not apply to the administration of the following substances:
 - (a) A recognized non-injectable nutritional supplement or other substance approved by the official veterinarian;
 - (b) A non-injectable substance on the direction or by prescription of a licensed veterinarian; or
 - (c) A non-injectable non-prescription medication or substance.
- (5) Subsections 4(a) through 4(c) do not waive the requirement to meet quantitative levels as required by the Controlled Therapeutic Medication Schedule, Version 2.2.
- (6) Any drug or medication for horses which is used or kept on association grounds and which, by federal law, state or provincial law, or racing commission regulation requires a prescription must be prescribed in compliance with applicable state or provincial statutes and regulations by a veterinarian who is duly licensed by either:
 - (a) the commission in which the association grounds are located;
 - (b) the veterinary board in the state or province in which the association grounds are located; or
 - (c) the state or province in which the horse was located at the time of the examination, diagnosis, and prescription.
- (7) No person shall possess a hypodermic needle, syringe capable of accepting a needle or injectable of any kind on association grounds, unless otherwise approved by the Commission. At any location under the jurisdiction of the Commission, veterinarians may use only one-time disposable syringe and needle, and shall dispose of both in a manner approved by the Commission. If a person has a medical condition which makes it necessary to have a syringe at any location under the jurisdiction of the Commission, that person may request permission of the judges

and/or the Commission in writing, furnish a letter from a licensed physician explaining why it is necessary for the person to possess a syringe, and must comply with any conditions and restrictions set by the judges and/or the Commission.

- (8) Practicing veterinarians shall not have contact with an entered horse within 24 hours before the scheduled post time of the race in which the horse is scheduled to compete except for the administration of furosemide under the guidelines set forth in ARCI-025-020 F. unless approved by the official veterinarian. Any unauthorized contact may result in the horse being scratched from the race in which it was scheduled to compete and may result in further disciplinary action by the judges.
- (9) Any horse entered for racing must be present on the association grounds [4]* 5 horse prior to the post time of the race they are enter in.

*(The RMTTC recommended 4 hours the Joint Model Rules Committee after discussion changed it to 5 hours in order to allow the legal administration of Salix)

D. Veterinarians' Reports

- (1) Every veterinarian who treats a racehorse at any location under the jurisdiction of the Commission shall, in writing on the Medication Report Form prescribed by the Commission, report to the official veterinarian or other commission designee at the racetrack where the horse is entered to run or as otherwise specified by the commission, the name of the horse treated, any medication, drug, substance, or procedure administered or prescribed, the name of the trainer of the horse, the date and time of treatment and any other information requested by the official veterinarian.
- (2) The Medication Report Form shall be signed by the practicing veterinarian.
- (3) The Medication Report Form must be filed by the treating veterinarian not later than post time of the race for which the horse is entered. Any such report is confidential and its content shall not be disclosed except in the course of an investigation of a possible violation of these rules or in a proceeding before the judges or the Commission, or to the trainer or owner of record at the time of treatment.
- (4) A timely and accurate filing of a Medication Report Form that is consistent with the analytical results of a positive test may be used as a mitigating factor in determining the nature and extent, if any, of a rule.

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

Version 3.2 to 3.3 ARCI 12/7/05: Added and modified rule language

Version 5.2 to 5.3 ARCI Board 12/7/12 limits on who can authorized veterinary treatment and limits when veterinarians have access to horses scheduled to race.

Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-025-010, Language pertaining to Medical Labeling

Version 7.0 to 8.0, adopted ARCI-025-010(B), ARCI Board of Directors, 4/20/2017; remainder of section re-numbered accordingly

ARCI-025-015 Prohibited Practices

- (1) No person may possess or use a drug, substance or medication on the premises of a facility under the jurisdiction of the Commission for which

- (a) a recognized analytical method has not been developed to detect and confirm the administration of such substance; or
- (b) the use of which may endanger the health and welfare of the horse or endanger the safety of the rider or driver; or
- (c) the use of which may adversely affect the integrity of racing; or, (d) no generally-accepted use in equine care exists.

(2) Prohibited Substances and Methods:

- (a) The substances and methods listed in the annexed Prohibited List may not be used at any place or time, and may not be possessed on the premises of a racing or training facility under the jurisdiction of the Commission, except as a restricted therapeutic use.
- (b) *Restricted Therapeutic Use.* A limited number of medication on the Prohibited List shall be exempted when the administration occurs in compliance with the annexed Required Conditions for Restricted Therapeutic Use:
 - (i) *Report When Sampled* means the administration of the substance must be reported to the commission when the horse is next sampled, if the horse is sampled within 24 hours after the administration;
 - (ii) *Pre-File Treatment Plan* means that if the commission where the horse is located requires the filing of treatment plans, then a treatment plan for the substance must be filed by the time of administration in a manner approved by such commission;
 - (iii) *Written Approval from Commission* means the commission has granted written approval of a written treatment plan before the administration of the substance;
 - (iv) *Emergency Use (report)* means the substance had to be administered due to an acute emergency involving the life or health of the horse, provided the emergency use is reported to the commission as soon as practicable after the treatment occurs;
 - (v) *Prescribed by Veterinarian* means the substance has been prescribed by an attending veterinarian, in compliance with ARCI 011-010 Veterinary Practices, and recorded in the veterinary records in the manner required by the commission;
 - (vi) *Report Treatment* means the treatment must be reported to the commission by the trainer at the time of administration to provide the commission with information for the Veterinarian's List. The trainer may delegate this responsibility to the treating veterinarian, who shall make the report when so designated; and
 - (vii) *Other Limitations* means additional requirements that apply, such as a substance may be used in only fillies or mares or a horse that is administered a

substance shall be reported immediately to the commission and placed on the Veterinarian's List for a specific minimum period of time.

The use of the substance must comply with other applicable rules of the Commission.

- (c) No person shall at any time administer any other doping agent to a horse except pursuant to a valid therapeutic, evidence-based treatment plan.
 - (i) *Other doping agent* means a substance that is not listed in the annexed Prohibited List, has a pharmacologic potential to alter materially the performance of a horse, has no generally accepted medical use in the horse when treated, and is:
 - (A) capable at any time of causing an action or effect, or both, within one or more of the blood, cardiovascular, digestive, endocrine, immune, musculoskeletal, nervous, reproductive, respiratory, or urinary mammalian body systems; including but not limited to endocrine secretions and their synthetic counterparts, masking agents, oxygen carriers, and agents that directly or indirectly affect or manipulate gene expression; but
 - (B) not a substance that is considered to have no effect on the physiology of a horse except to improve nutrition or treat or prevent infections or parasite infestations.
 - (ii) The commission may publish advisory warnings that certain substances or administrations may constitute a violation of this rule.
 - (iii) *Therapeutic, evidence-based treatment plan* means a planned course of treatment written and prescribed by an attending veterinarian before the horse is treated that:
 - (A) describes the medical need of the horse for the treatment, the evidence-based scientific or clinical justification for using the doping agent, and a determination that recognized therapeutic alternates do not exist; and
 - (B) complies with ARCI 011-010 Veterinary Practices, meets the standards of veterinary practice of the jurisdiction, and is developed in good faith to treat a medical need of the horse.
 - (iv) Such plans shall not authorize the possession of a doping agent on the premises of a racing or training facility under the jurisdiction of the commission.
- (3) The possession and/or use of the following substances or of blood doping agents, including but not limited to those listed below, on the premises of a facility under the jurisdiction of the Commission is forbidden:
 - (a) Aminoimidazole carboxamide ribonucleotide (AICAR)
 - (b) Darbepoetin

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- (c) Equine Growth Hormone
 - (d) Erythropoietin
 - (e) Hemopure ®
 - (f) *Myo*-Inositol Trispyrophosphate (ITPP)
 - (g) Oxyglobin®
 - (h) Thymosin beta
 - (i) Venoms or derivatives thereof
 - (j) Thymosin beta
- (4) The use of Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy shall not be permitted unless the following conditions are met:
- (a) Any Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy machine, whether in operating condition or not, must be registered with and approved by the Commission or its designee before such machine is brought to or possessed on any racetrack or training center within the jurisdiction of the commission;
 - (b) The use of Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy within the jurisdiction:
 - 1. shall be limited to veterinarians licensed to practice by the commission;
 - 2. may only be performed with machines that are:
 - (i) registered and approved for use by the commission; and
 - (ii) used at a previously-disclosed location that is approved by the commission
 - 3. must be reported within 24-hours prior to treatment on the prescribed form to the official veterinarian.
 - (c) Any treated horse shall not be permitted to race or breeze for a minimum of 10 days following treatment;
 - (d) Any horse treated with Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy shall be added to a list of ineligible horses. This list shall be kept in the race office and accessible to the jockeys and/or their agents during normal business hours and be made available to other regulatory jurisdictions.
 - (e) A horse that receives any such treatment without full compliance with this section and similar rules in any other jurisdiction in which the horse was treated shall be placed on the Steward's List.
 - (f) Any person participating in the use of ESWT and/or the possession of ESWT machines in violation of this rule shall be considered to have committed a Prohibited Practice and is subject to a Class A Penalty.

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- (5) The use of a nasogastric tube (a tube longer than six inches) for the administration of any substance within 24 hours prior to the post time of the race in which the horse is entered is prohibited without the prior permission of the official veterinarian or his/her designee.

Annexed Materials

For ARCI-025-015

- **Annex I: Prohibited List**
- **Annex II: Restricted Therapeutic Use Requirements**

Annex I

PROHIBITED SUBSTANCES

All substances in the categories below shall be strictly prohibited unless otherwise provided in accordance with ARCI-011-015 or ARCI-025-015. Any reference to substances in this section does not alter the requirements for testing concentrations in race day samples.

Nothing in this list shall alter the requirements of post-race testing.

S0. NON-APPROVED SUBSTANCES

Any pharmacologic substance that is not approved by any governmental regulatory health authority for human or veterinary use within the jurisdiction is prohibited. This prohibition includes drugs under pre-clinical or clinical development, discontinued drugs, and designer drugs (a synthetic analog of a drug that has been altered in a manner that

may reduce its detection); but does not include vitamins, herbs and supplements for nutritional purposes that do not contain any other prohibited substance, or the administration of a substance with the prior approval of the commission in a clinical trial for which an FDA or similar exemption has been obtained.

S1. ANABOLIC AGENTS

Anabolic agents are prohibited.

1. Anabolic Androgenic Steroids (AAS)

1.1. Exogenous AAS, including:

1-androstenediol (5 α -androst-1-ene-3 β ,17 β -diol);
1androstenedione (5 α - androst-1-ene-3,17-dione);
bolandiol (estr-4-ene-3 β ,17 β -diol); bolasterone;
boldenone; boldione (androsta-1,4-diene-3,17dione);
calusterone; clostebol; danazol
([1,2]oxazolo[4',5':2,3]pregna-4-en-20-
yn17 α ol); dehydrochlormethyltestosterone (4-
chloro17 β hydroxy-17 α -methylandrosta- 1,4-dien-3-
one); desoxymethyltestosterone (17 α -methyl-5 α -
androst-2-en- 17 β -ol); drostanolone; ethylestrenol
(19-norpregna-4en17 α -ol); fluoxymesterone;
formebolone; furazabol (17 α -
methyl[1,2,5]oxadiazolo[3',4':2,3]-5 α -androstan-
17 β -ol); gestrinone; 4- hydroxytestosterone
(4,17 β dihydroxyandrost-4-en-3-one); mestanolone;
mesterolone; metandienone (17 β -
hydroxy17 α methylandrosta-1,4-dien-3- one); metenolone;
methandriol; methasterone (17 β -hydroxy-2 α ,17 α -
dimethyl-5 α -androst-3-one); methyldienolone
(17 β hydroxy-17 α - methylestra-4,9-dien-3-one);
methyl1testosterone (17 β -hydroxy-17 α -methyl-5 α -androst-
1en3-one); methylnortestosterone (17 β -
hydroxy17 α methylestr-4-en-3-one); methyltestosterone;
metribolone (methyltrienolone, 17 β - hydroxy-
17 α methylestra-4,9,11trien-3-one); mibolerone;
nandrolone;
19-

norandrostenedione (estr-4-ene-3,17-dione); norboletone; norclostebol; norethandrolone; oxabolone; oxandrolone; oxymesterone; oxymetholone; prostanazol (17 β [(tetrahydropyran-2-yl)oxy]-1'H-pyrazolo[3,4:2,3]-5 α -androstane); quinbolone; stanozolol; stenbolone; 1testosterone (17 β -hydroxy-5 α -androst-1-en-3-one); tetrahydrogestrinone (17-hydroxy-18 α -homo-19-nor17apregna-4,9,11-trien-3-one); trenbolone (17 β hydroxyestr-4,9,11-trien-3-one); and other substances with a similar chemical structure or similar biological effect(s).

1.2. Endogenous AAS or their synthetic esters when administered exogenously:

androstenediol (androst-5-ene-3 β ,17 β -diol); androstenedione (androst-4-ene-3,17-dione); dihydrotestosterone (17 β -hydroxy-5 α -androstan-3-one); prasterone (dehydroepiandrosterone, DHEA, 3 β hydroxyandrost-5-en-17-one); testosterone; and their metabolites and isomers, including but not limited to: 5 α -androstane-3 α ,17 α -diol; 5 α -androstane-3 α ,17 β -diol; 5 α androstane-3 β ,17 α -diol; 5 α -androstane-3 β ,17 β -diol; 5 β androstane-3 α ,17 β -diol, androst-4-ene-3 α ,17 α -diol; androst-4-ene-3 α ,17 β -diol; androst-4-ene-3 β ,17 α -diol; androst-5-ene-3 α ,17 α -diol; androst-5-ene-3 α ,17 β -diol; androst-5-ene-3 β ,17 α -diol; 4-androstenediol (androst4ene-3 β ,17 β -diol); 5-androstenedione (androst-5-ene3,17dione); androsterone (3 β -hydroxy-5 α -androstan-17one); epi-dihydrotestosterone; epitestosterone; etiocholanolone; 7 α -hydroxy-DHEA ; 7 β -hydroxy-DHEA; 7keto-DHEA; 19norandrosterone; 19-noretiocholanolone.

2. Other Anabolic Agents, including but not limited to:

Clenbuterol, selective androgen receptor modulators (SARMs e.g., andarine and ostarine), ractopamine, tibolone, zeranol, zilpaterol.

S2. PEPTIDE HORMONES, GROWTH FACTORS AND RELATED SUBSTANCES

The following substances, and other substances with similar chemical structure or similar biological effect(s), are prohibited:

8. Erythropoietin-Receptor agonists:
 - 1.3 Erythropoiesis-Stimulating Agents (ESAs) including, e.g., darbepoetin (dEPO); erythropoietins (EPO); EPO-Fc; EPOmimetic peptides (EMP), e.g., CNTO 530 and peginesatide; and methoxypolyethylene glycol-epoetin beta (CERA); and
 - 1.4 Non-erythropoietic EPO-Receptor agonists, e.g., ARA-290, asialo EPO and carbamylated EPO;
9. Hypoxia-inducible factor (HIF) stabilizers, e.g., cobalt (when found in excess of regulatory authority limits) and roxadustat (FG-4592); and HIF activators, (e.g., argon, xenon);
10. Chorionic Gonadotropin (CG) and Luteinizing Hormone (LH) and their releasing factors, in males;
11. Corticotrophins and their releasing factors;
12. Growth Hormone (GH) and its releasing factors including Growth Hormone Releasing Hormone (GHRH) and its analogues, e.g., CJC-1295, sermorelin and tesamorelin; Growth Hormone Secretagogues (GHS), e.g., ghrelin and ghrelin mimetics, e.g., anamorelin and ipamorelin; and GH-Releasing Peptides (GHRPs), e.g., alexamorelin, GHRP-6, hexarelin and pralmorelin (GHRP-2);
13. Venoms and toxins including but not limited to venoms and toxins from sources such as snails, snakes, frogs, and bees as well as their synthetic analogues such as ziconotide.
14. In addition, the following growth factors are prohibited:

Fibroblast Growth Factors (FGFs), Hepatocyte Growth Factor (HGF), Insulin-like Growth Factor-1 (IGF-1) and its analogues,

Mechano Growth Factors (MGFs), Platelet-Derived Growth Factor (PDGF), Vascular-Endothelial Growth Factor (VEGF) and any other growth factor affecting muscle, tendon or ligament protein synthesis/degradation, vascularization, energy utilization, regenerative capacity or fiber type switching.

S3. BETA-2 AGONISTS

All beta-2 agonists, including all optical isomers (i.e. *d*- and *l*-) where relevant, are prohibited.

S4. HORMONE AND METABOLIC MODULATORS

The following are prohibited:

1. Aromatase inhibitors, including but not limited to: aminoglutethimide, anastrozole, androsta-1,4,6-triene-3,17dione (androstatrienedione), 4-androstene-3,6,17 trione (6oxo), exemestane, formestane, letrozole, testolactone;
2. Selective estrogen receptor modulators (SERMs), including but not limited to: raloxifene, tamoxifen, toremifene;
3. Other anti-estrogenic substances, including but not limited to: clomiphene, cyclofenil, fulvestrant;
4. Agents modifying myostatin function(s), including but not limited to: myostatin inhibitors;
5. Metabolic modulators:
 - 5.1. Activators of the AMP-activated protein kinase (AMPK), e.g., AICAR, and Peroxisome Proliferator Activated Receptor δ (PPAR δ) agonists (e.g., GW 1516);
 - 5.2. Insulins;

- 5.3. Trimetazidine; and
- 5.4. Thyroxine and thyroid modulators/hormones, including but not limited to those containing T4 (tetraiodothyronine/thyroxine), T3 (triiodothyronine), or combinations thereof.

S5. DIURETICS AND OTHER MASKING AGENTS

The following diuretics and masking agents are prohibited, as are other substances with similar chemical structure or similar biological effect(s): acetazolamide, amiloride, bumetanide, canrenone, chlorthalidone, desmopressin, etacrynic acid, indapamide, metolazone, plasma expanders (e.g. glycerol; intravenous administration of albumin, dextran, hydroxyethyl starch and mannitol), probenecid, spironolactone, thiazides (e.g. bendroflumethiazide, chlorothiazide, hydrochlorothiazide), torsemide, triamterene, and vasopressin receptor antagonists or vaptans (e.g., tolvaptan).

Furosemide and trichlormethiazide may be administered only in a manner permitted by other rules of the commission.

PROHIBITED METHODS

M1. MANIPULATION OF BLOOD AND BLOOD COMPONENTS

The following are prohibited:

1. The administration or reintroduction of any quantity of autologous, allogenic (homologous) or heterologous blood or red blood cell products of any origin into the circulatory system.
2. Artificially enhancing the uptake, transport or delivery of oxygen, including, but not limited to, perfluorochemicals, efaproxiral (RSR13) and modified hemoglobin products (e.g. hemoglobin-

based blood substitutes, microencapsulated hemoglobin products), excluding supplemental oxygen.

3. Any form of intravascular manipulation of the blood or blood components by physical or chemical means.

M2. CHEMICAL AND PHYSICAL MANIPULATION

Tampering, or attempting to tamper, in order to alter the integrity and validity of samples collected by the commission, is prohibited. These methods include but are not limited to urine substitution or adulteration (e.g., proteases).

M3. GENE DOPING

The following, with the potential to enhance sport performance, are prohibited:

2. The transfer of polymers of nucleic acids or nucleic acid analogues.
2. The use of normal or genetically modified hematopoietic cells.

Annex II

Restricted Therapeutic Use Requirements

Prohibited Substance	Required Conditions for Therapeutic Use Exemption						
	Report When Sampled	Pre-file Treatment Plan	Written Approval from Commission	Emergency Use (Report)	Prescribed by Veterinarian	Veterinary Record	Other Limitations
Adrenocorticotrophic Hormone (ACTH)		X			X	X	
Albuterol					X	X	
Altrenogest					X	X	Fillies/Mares only
Autologous Conditioned Plasma							
Bisphosphonates (clohdrorothers tiludronate only; all prohib all times					X	X	Four years of age and older only 6-month vet list
Blood Replacements	X			X	X	X	
Boldenone		X			X	X	6-month Vet List
Clenbuterol		X			X	X	6-month Vet List
Chorionic Gonadotropin		X	X ₁		X	X	60-day Vet List
Furosemide	X				X	X	

Luteinizing Hormone		X	X ₁		X	X	60-day Vet List
Nandrolone		X			X	X	6-month Vet List
Nucleic Polymer Transfers		X	X				
Platelet Rich Plasma (PRP)	X				X	X	

Stanozolol		X			X	X	6-month Vet List
S0 (not FDA approved)			X ₂		X	X	
Testosterone		X			X	X	6-month Vet List
Thyroxine (T4)		X	X ₃		X	X	
Trichlormethiazide	X				X	X	
Other Diuretics	X			X	X	X	

- 1: The approved treatment plan must show a specific treatment of a specific individual horse for an undescended testicle condition.
- 2: The approved treatment plan must show: (A) the substance has a generally accepted veterinary use; (B) the treatment provides a significant health benefit for the horse; (C) there is no reasonable therapeutic alternative; and (D) the use of the substance is highly unlikely to produce any additional enhancement of performance beyond what might be anticipated by a return to the horse's normal state of health, not exceeding the level of performance of the horse prior to the onset of the horse's medical condition.
- 3: The approved treatment plan must show: (A) the thyroxine is prescribed to a specific individual horse for a specific period of time; (B) the results of a Thyrotropin Releasing Hormone (TRH) Response Test establishing a diagnosis of hypothyroidism, the dosage, and the estimated last administration date; and (C) that any container of such drug on licensed premises shall be labeled with the foregoing information and contain no more thyroxine than for the treatment of the specific individual horse, as prescribed.

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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 new rule language

Version 4.3 to 4.4 ARCI Board 12/10/08: Shockwave to 10 days

Version 5.6 to 5.7 ARCI Board 4/9/2014 Amended language in ARCI-025-015 (4) pertaining to Extracorporeal Shock Wave Therapy or Radial Pulse Wave Therapy

Version 7.0 to 8.0, ARCI Board, Amended ARCI-025-011, 4/20/2017

Version 7.0 to 8.0, ARCI Board, Added *Annex I: Prohibited List*, and *Annex II: Restricted Therapeutic Use Requirements*, 4/20/2017

ARCI-025-020 Medications and Prohibited Substances

Upon a finding of a violation of these medications and prohibited substances rules, the judges 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 judges 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 judges 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 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 on 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, United States Drug Enforcement Agency (DEA) Schedule I drugs and many Schedule II. Also found in this class are drugs that are potent stimulants of the Central Nervous System (CNS). Drugs in this class have no generally accepted medical use in the racing horse and their pharmacologic potential for altering the performance of a racing horse is very high.

(2) Class 2

Drugs placed in this category have a high potential for affecting the outcome of a race. Most are not generally accepted as therapeutic agents in the racing horse. 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 racing horse. The following groups of drugs are placed in this class:

- (a) Opiate partial agonists, or agonist-antagonists;
- (b) Non-opiate psychotropic drugs. These drugs may have stimulant, depressant, analgesic or neuroleptic effects;
- (c) Miscellaneous drugs which might have a stimulant effect on the (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 that have a direct neuromuscular blocking action;
- (g) Local anesthetics that 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 placed 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 racing horse. The following groups of drugs are placed in this class:

- (a) Drugs affecting the autonomic nervous system that 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 that 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; (f) Anabolic and/or androgenic steroids or other drugs.

(4) Class 4

Drugs placed in this class comprise primarily therapeutic medications routinely used in racing horses. 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 that have a mild central analgesic effect;
 - (b) Drugs affecting the autonomic nervous system that 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) Antihistamines that do not have a significant CNS depressant effect. This does not include H2 blocking agents, which are in Class 5.
 - (d) Mineralocorticoid drugs;
 - (e) Skeletal muscle relaxants;
 - (f) Anti-inflammatory drugs. These drugs may reduce pain as a consequence of their anti-inflammatory action.
 - (A) Non-Steroidal Anti-Inflammatory Drugs (NSAIDs);
 - (B) Corticosteroids (glucocorticoids); and
 - (C) Miscellaneous anti-inflammatory agents.
 - (g) Less potent diuretics;
 - (h) Cardiac glycosides and antiarrhythmic agents.
 - (A) Cardiac glycosides;
 - (B) Antiarrhythmic agents (exclusive of lidocaine, bretylium and propranolol); and
 - (C) Miscellaneous cardiotoxic drugs.
 - (i) Topical Anesthetics--agents not available in injectable formulations;
 - (j) Antidiarrheal drugs;
 - (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 by the racing jurisdictions as well as certain miscellaneous agents.

Included specifically are agents that have very localized actions only, such as anti-ulcer drugs and certain antiallergenic 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 judges or the commission will use the penalty guidelines schedule contained in these rules 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 *ARCI Uniform Classification Guide lines for Foreign*, the identity of the drug shall be forwarded to the official veterinarian to be forwarded to the Drug Testing Standards and Practices Committee of the Association of Racing Commissioners International 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 RMTVC 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.

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The following are recommended penalties for violations due to the presence of a drug carrying a Category “A” penalty and for violations of ARCI-025-015: Prohibited Practices:

LICENSED TRAINER:		
1st offense	2nd LIFETIME offense in any jurisdiction	3rd LIFETIME offense in any jurisdiction
<ul style="list-style-type: none"> ◦ Minimum one-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a three-year suspension. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ 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). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ May be referred to the Commission for any further action deemed necessary by the Commission. 	<ul style="list-style-type: none"> ◦ 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. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ 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). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ May be referred to the Commission for any further action deemed necessary by the Commission. 	<ul style="list-style-type: none"> ◦ 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. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ 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). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ May be referred to the Commission for any further action deemed necessary by the Commission.
LICENSED OWNER:		
1st offense	2nd LIFETIME offense in owner’s stable in any jurisdiction	3rd LIFETIME offense in owner’s stable in any jurisdiction
<ul style="list-style-type: none"> ◦ Disqualification and loss of purse. <p style="text-align: center;">AND</p>	<ul style="list-style-type: none"> ◦ Disqualification and loss of purse. <p style="text-align: center;">AND</p>	<ul style="list-style-type: none"> ◦ Disqualification, loss of purse and \$50,000 fine. <p style="text-align: center;">AND</p>

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<ul style="list-style-type: none"> ◦ 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. 	<ul style="list-style-type: none"> ◦ 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. 	<ul style="list-style-type: none"> ◦ 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. AND ◦ Referral to the Commission with a recommendation of a suspension for a minimum of 90 days.
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Version 7.0 to 8.0, ARCI Board April 2017, changed recommended veterinarian’s list time to 180 Days for 1st and 2nd offense.

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-025-020(E) and for violations of the established levels for total carbon dioxide:

LICENSED TRAINER:		
1st offense	2nd offense (365-day period) in any jurisdiction	3rd offense (365-day period) in any jurisdiction
<ul style="list-style-type: none"> ◦ Minimum 15-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 60-day suspension. AND ◦ Minimum fine of \$500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$1,000. 	<ul style="list-style-type: none"> ◦ Minimum 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension. AND ◦ Minimum fine of \$1,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$2,500. 	<ul style="list-style-type: none"> ◦ Minimum 60-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a one-year suspension. AND ◦ 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). AND ◦ May be referred to the Commission for any further action deemed necessary by the Commission.
LICENSED OWNER:		

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1 st offense	2 nd offense in stable (365-day period) in any jurisdiction	3 rd offense in stable (365-day period) in any jurisdiction
<ul style="list-style-type: none"> ◦ Disqualification and loss of purse [in the absence of mitigating circumstances]*. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ Horse must pass a commission-approved examination before becoming eligible to be entered. 	<ul style="list-style-type: none"> ◦ Disqualification and loss of purse [in the absence of mitigating circumstances]*. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ Horse must pass a commission-approved examination before becoming eligible to be entered. 	<ul style="list-style-type: none"> ◦ Disqualification and loss of purse, and in the absence of mitigating circumstances a \$5,000 fine.* <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> ◦ 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.

* (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.)*

LICENSED TRAINER	Furosemide (>100 ng/ml) and no furosemide when identified as administered**	Phenylbutazone (>0.3 mcg/ml) Flunixin (>5.0 ng/ml) Ketoprofen (>2.0 ng/ml) and CLASS C Violations
1 st Offense (365-day period) in any jurisdiction	Minimum fine of a written warning to a maximum fine of \$500	Minimum fine of \$1,000 absent mitigating circumstances

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2 nd Offense (365-day period) in any jurisdiction	Minimum fine of a written warning to a maximum fine of \$750	Minimum fine of \$1,500 and 15-day suspension absent mitigating circumstances
3 rd Offense (365-day period) in any jurisdiction	Minimum fine of \$500 and to a maximum fine of \$1,000	Minimum fine of \$2,500 and 30-day suspension absent mitigating circumstances
LICENSED OWNER	Furosemide (>100 ng/ml) and no furosemide when identified as administered**	Phenylbutazone (>0.3 mcg/ml) Flunixin (>5.0 ng/ml) Ketoprofen (>2.0 ng/ml) AND CLASS C VIOLATIONS
1 st Offense (365-day period) in any jurisdiction	Horse may be required to pass commission-approved examination before being eligible to run.	Loss of purse [in the absence of mitigating circumstances]. Horse must pass commission-approved examination before being eligible to run
2 nd Offense (365-day period) in any jurisdiction	Horse may be required to pass commission-approved examination before being eligible to run	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 rd Offense (365-day period) in any jurisdiction	Disqualification and loss of purse. Horse must pass commission-approved examination before being eligible to run	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

*If the trainer has not had more than one violation within the previous two years, the Stewards/Judges are encouraged to issue a warning in lieu of a fine provided the reported level is below 3.0 mcg/ml, absent of aggravating factors.

After a two-year period, if the licensee has had no further violations, any penalty due to an overage in the 2.0 – 5.0 category will be expunged from the licensee's record for penalty purposes.



- (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 judges or the commission.
- (11) Any person who the judges 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 judges or the commission in no way prohibits a prosecution for criminal acts committed, nor does a potential criminal prosecution stall administrative action by the judges or the commission.
- (12) 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.
- (13) Multiple Medication Violations (MMV)
 - (a) A trainer who receives a penalty for a medication violation based upon a horse testing positive for a Class 1-5 medication with Penalty Class A-D, as provided in the most recent version of the ARCI Uniform Classification Guidelines for Foreign Substances, shall be assigned points as follows:

Penalty Class	Points If Controlled Therapeutic Substance	Points If Non-Controlled Substance
Class A	N/A	6
Class B	2	4
Class C	½ for first violation with an additional ½ point for each additional violation within 365 days ⁵	1 for first violation with an additional ½ point for each additional violation within 365 days
Class D	0	0

⁵ Points for NSAID violations apply only when the primary threshold of the NSAID is exceeded. Points are not to be separately assigned for a stacking violation.



If the Judges or Commission determine that the violation is due to environmental contamination, they may assign lesser or no points against the trainer based upon the specific facts of the case.

- (b) The points assigned to a medication violation by the Judges or Commission ruling shall be included in the ARCI official database and the ARCI shall assign points consistent with Section 13(b) for advisory purposes for medication violations where points have not been assigned by regulatory action. Points assigned by such regulatory action or by the ARCI shall reflect, in the case of multiple positive tests as described in paragraph (d), whether they shall thereafter constitute a single violation. The Judges' or Commission Ruling shall be posted on the official website of the Commission and within the official database of the Association of Racing Commissioners International. If an appeal is pending, that fact shall be noted in such Ruling. No points shall be applied until a final adjudication of the enforcement of any such violation.
- (c) A trainer's cumulative points for violations in all racing jurisdictions shall be maintained by the Association of Racing Commissioners International. Once all appeals are waived or exhausted, the points shall immediately become part of the trainer's official ARCI record and shall be considered by the Commission in its determination to subject the trainer to the mandatory enhanced penalties by the Judges or Commission as provided in this regulation.
- (d) Multiple positive tests for the same medication incurred by a trainer prior to delivery of official notice by the commission may be treated as a single violation. In the case of a positive test indicating multiple substances found in a single post-race sample, the Judges may treat each substance found as an individual violation for which points will be assigned.
- (e) The official ARCI record shall be used to advise the Judges or Commission of a trainer's past record of violations and cumulative points. Nothing in this administrative regulation shall be construed to confer upon a licensed trainer the right to appeal a violation for which all remedies have been exhausted or for which the appeal time has expired as provided by applicable law.
- (f) The Judges or Commission shall consider all points for violations in all racing jurisdictions as contained in the trainer's official ARCI record when determining whether the mandatory enhancements provided in this regulation shall be imposed.
- (g) In addition to the penalty for the underlying offense, the following enhancements shall be imposed upon a licensed trainer based upon the cumulative points contained in his/her official ARCI record:

Points	Suspension in days
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5-5.5	15 to 30
6-8.5	30 to 60
9-10.5	90 to 180
11 or more	180 to 360

MMV penalties are not a substitute for the current penalty system and are intended to be an additional uniform penalty when the licensee:

- (i) Has more than one violation for the relevant time period, and (ii) Exceeds the permissible number of points.

The Judges and Commission shall consider aggravating and mitigating circumstances, including the trainer’s prior record for medication violations, when determining the appropriate penalty for the underlying offense. The MMP is intended to be a separate and additional penalty for a pattern of violations.

- (h) The suspension periods as provided in Section 13(g), shall run consecutive to any suspension imposed for the underlying offense.
- (i) The Judges’ or Commission Ruling shall distinguish between the penalty for the underlying offense and any enhancement based upon a Judges or Commission review of a trainer’s cumulative points and regulatory record, which may be considered an aggravating factor in a case.
- (j) Points shall expire as follows:

Penalty Classification	Time to Expire
A	3 years
B	2 years
C	1 year

In the case of a medication violation that results in a suspension, any points assessed expire on the anniversary date of the date the suspension is completed.

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) Controlled therapeutic medications in excess of established threshold concentrations or administration within the restricted time period as set forth in the ARCI Controlled Therapeutic Medication Schedule;
 - (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) All allowable medications must have a prescription label which is securely attached to the medication container and clearly ascribed to show the following:
- (a) name, address and telephone number of the pharmacy or veterinarian dispensing the medication;
 - (b) prescription number when dispensed by a pharmacy if required by law;
 - (c) prescription number when dispensed by a pharmacy if required by law;
 - (d) Name of the prescribing veterinarian;
 - (e) name of the horse for whom the medication is prescribed or dispensed;
 - (f) name of the trainer or owner of the horse for whom the product was dispensed;
 - (g) dose, dosage, route of administration, and duration of treatment of the prescribed product (instructions for use);
 - (h) name, active ingredient, quantity prescribed, expiration date (if applicable), beyond use date (if applicable), and lot number (if applicable); and (i) cautionary statements (if any), and if applicable, withdrawal time.
- (3) The use of an expired medication is considered a violation of this rule.
- (4) Any medication that has a label that is missing, illegible, tampered with or altered, or in any other way does not comply with this section shall be considered a violation of these rules.
- (5) Any licensee that voluntarily surrenders any non-compliant medication shall not be considered to be in violation of the medication rules described in this section and/or ARCI011-020(D). A surrender shall not be deemed voluntary after a licensee has been advised or it is apparent that an investigatory search has commenced.

D. Non-Steroidal Anti-Inflammatory Drugs (NSAIDs)

- (1) The use of NSAIDs shall be governed by the following conditions:
- (a) NSAIDs included in the ARCI Controlled Therapeutic Medication Schedule, Version 2.2, are not be used in a manner inconsistent with the restrictions contained therein. (A)



- (b) NSAIDs not included on the ARCI Controlled Therapeutic Medication Schedule, Version 2.2, are not to be present in a racing horse biological sample at the laboratory concentration of detection.
- (d) The presence of more than one NSAID may constitute a NSAID stacking violation consistent with the following restrictions:
- A. Class 1 NSAID Stacking Violation (Penalty Class B) occurs when:
 - i. Two non-steroidal anti-inflammatory drugs are found at individual levels determined to exceed the following restrictions:
 - g. Diclofenac – 5 nanograms per milliliter of plasma or serum;
 - h. Firocoxib - 20 nanograms per milliliter of plasma or serum;
 - i. Flunixin – 20 nanograms per milliliter of plasma or serum;
 - j. Ketoprofen – 2 nanograms per milliliter of plasma or serum;
 - k. Phenylbutazone – 2 micrograms per milliliter of plasma or serum; or
 - l. all other non-steroidal anti-inflammatory drugs – laboratory concentration of detection
 - ii. Three or more non-steroidal anti-inflammatory drugs are found at individual levels determined to exceed the following restrictions:
 - a. Diclofenac – 5 nanograms per milliliter of plasma or serum;
 - b. Firocoxib - 20 nanograms per milliliter of plasma or serum;
 - c. Flunixin – 3 nanograms per milliliter of plasma or serum;
 - d. Ketoprofen – 1 nanograms per milliliter of plasma or serum;
 - e. Phenylbutazone – 0.3 micrograms per milliliter of plasma or serum; or
 - f. all other non-steroidal anti-inflammatory drugs – laboratory concentration of detection.
 - B. A Class 2 NSAID Stacking Violation (Penalty Class C) occurs when:
 - i. Any one substance noted in Subsection (A)(i) above is found in excess of the restrictions contained therein in combination with any one of the following substances at levels below the restrictions so noted but in excess of the following levels:
 - a. Flunixin – 3.0 nanograms per milliliter of plasma or serum;
 - b. Ketoprofen – 1 nanogram per milliliter of plasma or serum; or
 - c. Phenylbutazone – 0.3 micrograms per milliliter of plasma or serum;
 - C. A Class 3 NSAID Stacking Violation (Penalty Class C, fines only) occurs when:
 - i. Any combination of two of the following non-steroidal anti inflammatory drugs are found at or below the restrictions in Subsection (A)(i)(a through e) above but in excess of the noted restrictions:
 - a. Flunixin – 3 nanograms per milliliter of plasma or serum;
 - b. Ketoprofen – 1 nanogram per milliliter of plasma or serum; or
 - c. Phenylbutazone – 0.3 micrograms per milliliter of plasma or serum.



- (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 racing 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 the official veterinarian or his/her designee shall be notified using the prescribed form, that the horse is 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) Furosemide shall be the only authorized bleeder medication
- (2) The use of furosemide shall be permitted under the following circumstances on association grounds where a detention barn is utilized:
 - (c) Furosemide shall be administered by the official veterinarian, the racing veterinarian or his/her designee no less than four hours prior to post time for the race for which the horse is entered.
 - (d) Any veterinarian or vet techs participating in the administration process must be prohibited from working as private veterinarians or technicians on the race track or with participating licensees;
 - (c) 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.
 - (d) The dose administered shall not exceed 500 mg. nor be less than 150 mg.
 - (e) Furosemide shall be administered by a single, intravenous injection.
 - (f) 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 by the official veterinarian, the racing veterinarian or his/her designee no less than four hours prior to post time for the race for which the horse is entered.



- (b) Any veterinarian or vet techs participating in the administration process must be prohibited from working as private veterinarians or technicians on the race track on or with participating licensees;
 - (c) The furosemide dosage 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 proximity of its stall in the care, custody and control of its trainer or the trainer's designated representative under general association and/or Commission security surveillance until called to the saddling paddock.
- (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.
- (5) The administering authority or association may assess a fee approved by the commission on licensed owners of treated horses to recoup the reasonable costs associated with the administration of furosemide in the manner prescribed in these rules.

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 judges 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. 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) 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: (a)
- (3) If the preponderance of evidence presented in the hearing shows that a positive test is the result of environmental contamination, including inadvertent exposure due to human drug use, or dietary intake, or is endogenous to the horse, those factors should be considered in mitigation of any disciplinary action taken against the affected trainer. Disciplinary action shall only be taken if test sample results exceed the regulatory thresholds in the most recent version of the ARCI Endogenous, Dietary, or Environmental Substances Schedule.
- (4) The identification and adoption of these uniform thresholds for certain substances shall not preclude an individual jurisdiction from maintaining thresholds for substances not on this list which predate the adoption of this regulation in such jurisdiction.

I. Androgenic-Anabolic Steroids

- (1) No AAS shall be permitted in test samples collected from racing horses except for endogenous concentrations of the naturally occurring substances **boldenone**, **nandrolone**, and testosterone at concentrations less than the indicated thresholds.
- (2) Concentrations of these AAS shall not exceed the following free (*i.e.*, not conjugated) steroid concentrations in plasma or serum:
 - (a) Boldenone – A confirmatory threshold not greater than 25 picograms/milliliter for all horses, regardless of sex;
 - (b) Nandrolone – A confirmatory threshold not greater than 25 picograms/milliliter for fillies, mares, and geldings; male horses other than geldings shall be tested for Nandrolone in urine (see (2)(b)(B) below);
 - (c) Testosterone – A confirmatory threshold not greater than 100 picograms/milliliter for fillies, mares, and gelding.
- (3) Total concentrations of these AAS shall not exceed the following total concentrations in urine after hydrolysis of conjugates:
 - (a) Boldenone - A confirmatory threshold not greater than 1 nanogram/milliliter for fillies, mares, and geldings; a confirmatory threshold not greater than 15 nanograms/milliliter in male horses other than geldings;
 - (b) Nandrolone - A confirmatory threshold not greater than 1 nanogram/milliliter for fillies, mares, and geldings; a confirmatory threshold not greater than 45 nanograms/milliliter (as 5 α -estrane-3 β ,17 α -diol) of urine in male horses other than geldings;
 - (c) Testosterone – A confirmatory threshold of not greater than 55 nanograms/milliliter of urine in fillies and mares (unless in foal); a confirmatory threshold of not less than 20 nanograms/milliliter in geldings
- (4) Any other AAS are prohibited in racing horses.
- (5) The sex of the horse must be identified to the laboratory on all pre-race and post-race samples designated for AAS testing.



- (6) If an anabolic steroid has been administered to a horse in order to assist in its recovery from illness or injury, that horse may be placed on the Veterinarian's List in order to monitor the concentration of the drug or metabolite in urine or blood. After the concentration has fallen below the designated threshold for the administered AAS, the horse is eligible to be removed from the list.

J. Alkalinizing Substances

The use of agents that elevate the horse's TCO₂ 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:

- (3) The regulatory threshold for TCO₂ is 37.0 millimoles per liter of plasma/serum or a base excess level of 10.0 millimoles, and;
- (4) The decision level to be used for the regulation of TCO₂ 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.

K. Compounded Medications on Association Grounds

- (8) The possession or use of a drug, substance, or medication on Association Grounds that has not been approved by the appropriate federal agency (e.g., the United States Food and Drug Administration in the United States) for any use in (human or animal) is forbidden without prior permission of the Commission or its designee.
- (9) It is a violation of this regulation to possess, use, or distribute a compounded medication on Association Grounds if there is an FDA approved equivalent of that substance available for purchase. A difference in available formulations or concentrations does not alleviate the need to use FDA approved products.
- (10) It is a violation of this regulation to possess, use, or distribute a compounded medication on Association Grounds made from bulk substances if an FDA approved equivalent is available for purchase.
- (11) Combining two or more substances with pharmacologic effect constitutes the development of a new drug. This may only be done in accordance with state and local laws and must contain FDA approved medications, if available.
- (12) Compounded veterinary drugs. Veterinary drugs shall be compounded in accordance with all applicable state and federal laws. Compounded medication shall be dispensed only by prescription issued by a licensed veterinarian to meet the medical needs of a specific horse and for use only in that specific horse
- (13) Labels on compounded veterinary drugs. All compounded medications must be labeled in accordance with section ARCI-011-020(D) : Medical Labeling
- (14) Possession of an improperly labeled product by any person on Association Grounds is considered a violation of this section.

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

Version 4.4 to 4.5 ARCI 4/23/09: Amended language added Alkalinizing Substances

Version 4.7 to 4.8 ARCI Board 10/22/10 Amended language regarding Phenylbutazone level 5.0 to 2.0

Version 4.8 to 4.9 ARCI Board 7/27/11 Amended language regarding Class C penalties



EP BIOSECURITY

Version 5.0 to 5.1 ARCI Board 4/27/2012 Made furosemide administration fee subject to approval of commission
Version 5.2 to 5.3 ARCI Board 12/7/12 included reference to “ARCI Controlled Therapeutic Medication Schedule”
Version 5.4 to 5.5 ARCI Board 7/31/13 included language adopting Multiple Medication Violations (MMV)
Version 5.5 to 5.6 ARCI Board 12/9/2013 Amended Androgenic-Anabolic Steroid language
Version 5.6 to 5.7 ARCI Board 4/9/2014 Amended language in ARCI-025-020 (B)(13) pertaining to Multiple Medication Violation (MMV)
Version 5.6 to 5.7 ARCI Board 4/9/2014 Amended language in ARCI-025-020 (B)(13) pertaining to Multiple Medication Violation (MMV)
Version 5.6 to 5.7 ARCI Board 4/9/2014 Deleted language in ARCI-025-020 (H) pertaining to Anti-Ulcer Medications
Version 5.6 to 5.7 ARCI Board 4/9/2014 Amended language in ARCI-025-020 (I) pertaining to Androgenic Anabolic Steroids
Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Reconciled ARCI-025-020(A) with Uniform Classification Guidelines language.
Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Updated ARCI-025-020(B) to reflect amended levels of Ketoprofen
Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Amended ARCI-025-020(E) to reflect Class 1-3 NSAID Stacking

Penalties

Version 5.7 to 5.8 ARCI Board of Directors 7/31/2014 Amended ARCI-025-020(H) in relation to Environmental Contaminants and Substances of Human Abuse
Version 5.8 to 5.9 ARCI Board 12/12/2014 Amended ARCI-025-020(E)(1)(c)(C)(i) Class 3 Anti-Stacking Violations
Version 5.8 to 5.9 ARCI Board 12/12/2014 Added ARCI-025-020(K) Compounded Medications on Association Grounds
Version 5.9 to 6.0 ARCI Board of Directors 7/16/2015 Amended ARCI-025-020(B) Penalties
Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-025-020 (D) Medical Labeling
Version 6.3 to 7.0, ARCI Board 12/09/2016; Amended ARCI-025-020(B)(13) Multiple Medication Violations; MMV points assessed by penalty class, suspension length as determined by point totals (allowed for discretion in penalty length), and time required for point expiration.
Version 8.4.1 to 8.5 ARCI Board 12/03/2018 Amended ARCI-025-020 I (2) (c) to 100 picograms/ml
Version 9.5 to 10.0 ARCI Board 07/13/2021 Made furosemide usage in a furosemide restricted contest a Penalty Class B violation
Version 10.0 to 10.1 ARCI Board 11/29/2021 Amended ARCI-010-020(D)(1) Scale of Weights
Version 10.1 to 11.0 ARCI Board 12/10/2021 Amended Annex II, Restricted Use Therapeutic Requirements “Restricted Therapeutic Use Requirements,” Footnote for Thyroxine
Version 11.0 to 11.1 ARCI Board 7/28/2022 Added ARCI-023-020 (11) and (12) Standardbred Voided Claim Rule

ARCI-025-022 Out of Competition Testing

- (1) Out-of-competition testing authorized. The commission may at a reasonable time on any date take blood, urine or other biologic samples as authorized by commission rules from a horse to enhance the ability of the member commission to enforce its medication and anti-doping rules, e.g., the Prohibited List pursuant to ARCI-011-015. The commission shall own such samples. This rule authorizes only the collection and testing of samples and does not independently make impermissible the administration to or presence in any horse of any drug or other substance. A race day prohibition or restriction of a substance by a commission rule is not applicable to an out-of-competition test unless there is an attempt to race the horse in a manner that violates such rule.
- (2) Horses eligible to be tested. Any horse that has been engaging in activities related to competing in horse racing in the jurisdiction may be tested. This includes without limitation any horses that are training outside the jurisdiction to participate in racing in the jurisdiction and all horses that are training in the jurisdiction, but excludes weanlings, yearlings and horses no longer engaged in horse racing (e.g., retired broodmares).
 - (a) A horse is presumed eligible for out-of-competition testing if:
 - (i) It is on the grounds at a racetrack or training center under the jurisdiction of the commission;



- (ii) It is under the care or control of a trainer licensed by the commission;
 - (iii) It is owned by an owner licensed by the commission;
 - (iv) It is entered or nominated to race at a premises licensed by the commission;
 - (v) It has raced within the previous 12 months at a premises licensed by the commission; or
 - (vi) It is nominated to a program based on racing in the jurisdiction, including without limitation a state thoroughbred development, breeder's award fund, or standardbred state sires stakes.
- (b) Such presumptions are conclusive in the absence of evidence that a horse is not engaged in activities related to competing in horse racing in the jurisdiction.
- (3) Selection of horses to be tested.
- (a) Horses shall be selected for sampling by a commission Veterinarian, Executive Director, Equine Medical Director, Steward or Presiding Judge or a designee of any of the foregoing.
 - (b) Horses may be selected to be tested at random, for cause, or as otherwise determined in the discretion of the commission.
 - (c) Collectors shall for suspicion-less collections of samples abide by a plan that has been approved by a supervisor not in the field and identifies specific horses or provides neutral and objective criteria to follow in the field to determine which horses to sample. Such a supervisor may consider input from persons in the field during the operation of the plan and select additional horses to be sampled.
- (4) Cooperation with the commission
- (a) Licensees of the commission are required to cooperate and comply fully with the provisions of this rule.
 - (b) Persons who apply for and are granted a trainer or owner license shall be deemed to have given their consent for access at such premises as their horse may be found for the purpose of commission representatives collecting out-of- competition samples. Licensees shall take any steps necessary to authorize access by commission representatives at such premises.
 - (c) No other person shall knowingly interfere with or obstruct a sampling.
- (5) General procedure for collecting samples



- (a) Samples shall be taken under the supervision and direction of a person who is employed or designated by the commission. All blood samples shall be collected by a veterinarian licensed in the state where the sample is collected, or by a veterinary technician who is acting under appropriate supervision of the veterinarian.
 - (b) Upon request of a representative of the commission, the trainer, owner, or their specified designee shall provide the location of their horses eligible for out-of-competition testing.
 - (c) The commission need not provide advance notice before arriving at any location, whether or not licensed by the commission, to collect samples.
 - (d) The trainer, owner, or their specified designee shall cooperate with the person who takes samples for the commission, which cooperation shall include without limitation:
 - (i) Assist in the immediate location and identification of the horse;
 - (ii) Make the horse available as soon as practical upon arrival of the person who is responsible for collecting the samples;
 - (iii) Provide a stall or other safe location to collect the samples;
 - (iv) Assist the person who is collecting samples in properly procuring the samples; and
 - (v) Witness the taking of samples including sealing of sample collection containers.
 - (e) The management and employees of a licensed racetrack or training facility at which a horse may be located shall cooperate fully with a person who is authorized to take samples. The person who collects samples for the commission may require that the collection be done at a specified location on such premises.
 - (f) The commission, if requested and in its sole discretion, may permit the trainer, owner, or their specified designee to present a horse that is located in the jurisdiction, but not at a racetrack or training center licensed by the commission, to be sampled at a time and location designated by the commission.
- (6) Procedure for collecting samples from horses located outside the jurisdiction
- (a) The commission may arrange for the sampling of an out-of-state horse by the racing commission or other designated person in the jurisdiction where the horse is located. Such racing commission or other designated person shall follow the relevant provisions of this rule, including paragraph (a) of subdivision five of this rule.



- (b) The test results shall be made available, for its regulatory use, to each jurisdiction that has participated in the process of collecting any out-of-competition sample, subject to any restrictions on public disclosure of test results that apply to the commission that selected the horse for sampling.
 - (c) The commission, if requested and in its sole discretion, may permit the trainer or owner instead to transport the horse into its jurisdiction for sampling at a time and place designated by the commission.
- (7) Additional procedures
- (a) The person who takes samples for the commission shall provide identification and disclose the purpose of the sampling to the trainer or designated attendant of the horse.
 - (b) A written protocol for the collection of samples shall be made generally available.
 - (c) An owner or trainer does not consent to a search of the premises by making a horse that is not located at a racetrack or training center available for sampling.
 - (d) If the trainer or other custodian of a selected horse refuses or declines to make the horse available for sampling and the managing owner has previously provided the commission with a means for the commission to give immediate notification to the managing owner in such situation, then the commission shall attempt to notify the managing owner and the eligibility of the horse shall be preserved if the managing owner is able to make the horse available for immediate sampling. The commission is not required to make repeated attempts to notify the managing owner.
 - (e) The chain of custody record for the sample (including a split sample where appropriate) shall be maintained and made available to the trainer, owner, or their designee when a complaint results from an out-of-competition test.
- (8) Analysis of collected samples
- (a) The commission may have out-of-competition samples tested to produce information that may enhance the ability of the commission to enforce its medication and anti-doping rules.
 - (b) Split sample rules and procedures for post-race testing shall apply to out-of- competition testing.
 - (c) The commission may use any remaining sample for research and investigation.
- (9) Penalties for non-cooperation



- (a) Willful failure to make a horse available for sampling or other willfully deceptive acts or interference in the sampling process shall carry a minimum penalty of a one year license suspension and referral to the commission in addition to any other authorized penalties.
- (b) A selected horse that is not made available for out-of-competition sampling shall be placed on the Steward's List. The horse shall remain on the Steward's List for a minimum of 180 days unless the owner can establish extraordinary mitigating circumstances.
- (c) A selected horse that is presumed eligible for out-of-competition testing shall be placed on the Steward's list and be ineligible to race in the jurisdiction for 180 days if the horse is not sampled because the trainer, owner or their designee asserts that the horse is not engaged in activities related to competing in horse racing in the jurisdiction. This restriction shall not apply if the trainer, owner or their designee instead permits voluntarily an immediate collection of such samples from the horse.

Adopted Version 4.1 ARCI 4/26/07
 ARCI-025-022 Amended (Version 8.0), ARCI Board of Directors, 4/20/2017

ARCI-025-023 Testing

A. Reporting to the Test Barn

- (1) The official winning horse and any other horse ordered by the Commission and/or the judges 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 judges or the Commission at any time on any horse on association grounds.
- (3) Unless otherwise directed by the judges 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) Blood samples must be collected at consistent time, preferably not later than one hour post-race.

C. 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 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.

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.

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.

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 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.

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) 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 judges 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.
- (3) 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.
- (4) 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) 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) 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) 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) 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) 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. 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. 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 an accrediting body designated by the Association of Racing Commissioners International to standards set forth and required by the Commission or the Association of Racing Commissioners International.



- (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 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 2.1 to 3.0 ARCI 4/3/04 NAPRA 4/3/04: Amended and modified rule language; Rule topic was renumbered from ARCI025-025

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

Version 4.1 to 4.2 ARCI 3/26/08 Added new rule language

Version 5.9 to 6.0 ARCI Board of Directors 7/16/2015 Amended ARCI-025-023(E) Laboratory Minimum Standards

ARCI-025-025 Trainer Responsibility

The purpose of this subsection is to identify responsibilities of the trainer that pertain specifically to the health and well-being of horses in his/her care.

- (1) The trainer is responsible for the condition of horses entered in an official workout or race and is responsible for the presence of any prohibited drug, medication or other substance, including permitted medication in excess of the maximum allowable level, in such horses. A positive test for a prohibited drug, medication or substance, including permitted medication in excess of the maximum allowable concentration, as reported by a Commission-approved laboratory, is prima facie evidence of a violation of this rule. In the absence of substantial evidence to the contrary, the trainer shall be responsible.
- (2) A trainer shall prevent the administration of any drug or medication or other prohibited substance that may cause a violation of these rules.
- (3) For a horse not on association grounds at the time the drug or medication is prescribed and such medication is not prescribed by a veterinarian licensed by the commission, the trainer shall have 14 days from the time the horse enters association grounds to:
 - (a) exhaust any supply of medication validly prescribed pursuant to ARCI-011-010(B)(6);
or
 - (b) consult with a veterinarian licensed by the Commission to review the medication(s) in his or her possession to determine:
 - i. if all medications comply with the medical labeling requirements described in ARCI-011-020(D); and
 - ii. if the medications are permitted for use in a racehorse under applicable law.
- (4) The trainer of the horse that has a medication reviewed in Subsection 3 shall sign a form approved by the Commission certifying that the required review described in Subsection 3 has been undertaken. The form shall be filed with the Commission prior to the expiration of the 14 days described in Subsection 3.
- (5) Any medication that does not comply with Subsection 3, Subsection 4, and the medical labeling requirements in ARCI-011-020(D) is considered to be in violation of these rules.
- (6) A trainer whose horse has been claimed remains responsible for any violation of rules regarding that horse's participation in the race in which the horse is claimed.
- (7) The trainer is responsible for:
 - (a) Maintaining the assigned stable area in a clean, neat and sanitary condition at all times;



- (b) Using the services of those veterinarians licensed by the Commission to attend horses that are on association grounds;
- (8) Additionally, with respect to horses in his/her care or custody, the trainer is responsible for:
 - (a) The proper identity, custody, care, health, condition and safety of horses;
 - (b) Ensuring that at the time of arrival at locations under the jurisdiction of the Commission a valid health certificate and a valid negative Equine Infectious Anemia (EIA) test certificate accompany each horse and which, where applicable, shall be filed with the racing secretary;
 - (c) Having each horse in his/her care that is racing, or is stabled on association grounds, tested for Equine Infectious Anemia (EIA) in accordance with the jurisdiction's law and for filing evidence of such negative test results with the racing secretary;
 - (d) Using the services of those veterinarians licensed by the Commission to attend horses that are on association grounds;
 - (e) Immediately reporting the alteration of the sex of a horse to the horse identifier and the racing secretary;
 - (f) Promptly reporting to the racing secretary and the official veterinarian when a posterior digital neurectomy (heel nerving) is performed and ensuring that such fact is designated on its certificate of registration;
 - (g) Promptly notifying the official veterinarian of any reportable disease and any unusual incidence of a communicable illness in any horse in his/her charge;
 - (h) Promptly reporting the serious injury and/or death of any horse at locations under the jurisdiction of the Commission to the judges and the official veterinarian and compliance with the rules in this chapter governing post-mortem examinations;
 - (i) Maintaining a knowledge of the medication record and status;
 - (j) Immediately reporting to the judges and the official veterinarian knowledge or reason to believe, that there has been any administration of a prohibited medication, drug or substance;
 - (k) Ensuring the fitness to perform creditably at the distance entered;
 - (l) Ensuring that every horse he/she has entered to race is present at its assigned stall for a pre-race soundness inspection as prescribed in this chapter;
 - (m) Ensuring proper bandages, equipment and shoes;
 - (n) Presence in the paddock at least 20 minutes before post time or at a time otherwise appointed before the race in which the horse is entered;
 - (o) Personally attending in the paddock and supervising the saddling thereof, unless excused by the judges; and
 - (p) Attending the collection of a urine or blood sample or delegating a licensed employee or the owner to do so.

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; Rule topic was renumbered from ARCI025-030

Version 6.1 to 6.2 ARCI Meeting of the Members 3/24/2016 Amended ARCI-025-025, Language pertaining to Medical Labeling

**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 assessment of a horse's racing condition 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, (d)
 - (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.
- (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 judges 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

B. Veterinarian's List

- (1) The official veterinarian shall maintain the Veterinarians' 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.
- (2) A horse may be removed from the Veterinarian's List when, in the opinion of the official veterinarian, 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 of 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

Version 4.4 to 4.5: Amended language



APPENDIX A

AAEP Healthy Horse Protocol: Biosecurity Guidelines for Racetrack Entry and Stabling (2020)

The following guidelines were developed by the AAEP Infectious Disease Committee in order to establish uniform health protocols regarding the entrance of horses to a racing venue as well as the ongoing monitoring of health status while at the facility.

Prior to Departure to Racing Venue:

- Temperatures should be taken and recorded twice daily at least three days prior to movement to the racing venue.
- Horses should be observed by a licensed veterinarian in consultation with the horse's caretaker for clinical signs including, but not limited to, discharge from the eyes or nose; cough; diarrhea or abnormal manure; erratic or unusual behavior; abnormal stance; abnormal movement such as wobbly gait or incoordination; inability to move the tail; or straining to urinate.
- Any horse with a temperature over 101.5°F or any signs of illness must not be shipped to a racetrack or training center. A veterinarian should examine the horse and then implement the appropriate biosecurity measures in accordance with AAEP biosecurity guidelines.
- Horses stabled where there are sick horses—cases of infectious, contagious or communicable disease such as described above in bullet 2—should not be moved unless veterinary examination and clinical history determine that it is safe to do so.
- Horses moving interstate must meet the entry requirements of the destination state, racing commission, and individual racetrack or training center. Requirements for interstate movement can be found by contacting the office of the state veterinarian in the state of destination or by visiting <https://www.interstatelivestock.com>. Entry requirements can change and should be checked prior to scheduling shipment to another state.
- Horses should be observed for any signs of disease prior to loading on the trailer. Only healthy horses shall be loaded onto the trailer.
- Racetrack operators and veterinarians should routinely consult the Equine Disease Communication Center (EDCC) website or EDCC app to see the current status and location of disease outbreaks. This tool assists with making informed decisions on whether to ship, accept or exclude horses from other locations.

Entry to Racing Venue: Recommended Facility Requirements:

- Only horses deemed to be healthy will be permitted to enter a racing venue. At the time of offloading,



a designated individual shall inspect the animal. Animals that can't be inspected at the time of arrival and offloading should be placed in isolation stabling until such inspection can be performed.

- Any horse displaying an obvious sign of illness, including but not limited to, discharge from the eyes or nose; cough; diarrhea or abnormal manure; change in behavior; abnormal stance; abnormal movement such as wobbly gait or incoordination; loss of tail tone; or straining to urinate should not enter the general stabling area until examined by a veterinarian. A clinically abnormal horse should be diverted to a veterinary hospital, approved isolation facility or back to its origin, depending on the circumstances and severity of signs.
- Following arrival at a racetrack or training center, horses should be promptly examined by an attending veterinarian for signs of illness. Horses with a temperature over 101.5°F must be reported immediately to the official veterinarian.
- In the event that ambient temperature or stress of transport may have contributed to an elevated temperature, the attending veterinarian should request re-evaluation of any horse with a temperature over 101.5F (e.g. retaking the horse's temperature) within two hours of arrival.
- Within 24 hours of entry at a racing or training facility, the attending veterinarian is responsible for observing the horse for clinical signs of disease and reviewing temperature recordings.
- Horses must show proof of vaccination by a licensed veterinarian within the prior 12 months for EEE/WEE/WNV and tetanus. In addition, Rabies vaccination is strongly recommended pursuant to the AAEP's vaccination guidelines.
- Horses must show proof of vaccination by a licensed veterinarian within the prior 6 months for equine influenza and equine herpesvirus (EHV1 and EHV4).
- All horses entering must present a valid negative Equine Infectious Anemia Test (AKA Coggins test) dated within the last 12 months unless otherwise mandated by the local racing jurisdiction or state laws. A more recent Equine Infectious Anemia test (AKA Coggins test) may be required if the horse originates from an area of high risk.
- All horses must present, at arrival, a valid Certificate of Veterinary Inspection (health certificate) issued by a licensed accredited veterinarian within 14 days of arrival. (When necessary due to health risk concerns, the time frame for issuance may be shortened to require an examination within 72 hours of shipment).
 - Racetrack management should issue notifications when arrival health requirements are changed.
 - Equine Infectious Anemia test (AKA Coggins test) should be available to state animal health officials upon request.
- A horse failing to meet entry health requirements or not accompanied by the necessary documents as outlined above will be refused entry to the racing venue.



While Stabled at the Racing Venue:

- All horses should be observed daily, and temperatures taken and recorded twice daily by the trainer or a member of the trainer's staff.
- Temperatures shall be taken prior to any medications or exercise in the morning and in the afternoon.
- Any temperature above 101.5°F will be reported immediately to the attending veterinarian who should perform an appropriate exam.
- Horses displaying clinical signs should be evaluated by a veterinarian. Any horse deemed to pose an infectious disease risk as determined by veterinary examination shall be moved to isolation stabling.
- Horses potentially exposed to a horse that has signs of infectious disease should have increased monitoring for possible infection and their movement limited if applicable.
- Owner/trainers shall maintain proper vaccine protocol in horses residing on the racing venue. Vaccination protocols may vary based on geographic area. At a minimum, horses shall be vaccinated annually for EEE/WEE/WNV, rabies and tetanus and every six months for influenza and equine herpesvirus (EHV1 and EHV4) (equine rhinopneumonitis).
- Be aware that humans and objects can transmit infectious diseases, therefore care should be taken to minimize horse-to-horse contact, horse-to-human-to-horse contacts, and sharing of equipment. Any shared equipment should be cleaned and disinfected between use on different horses.
- During an infectious disease outbreak, all responsible parties will adhere to disease control measures implemented by racing jurisdiction and/or state veterinarian authority.
- When an infectious disease is suspected or diagnosed, owners, trainers and veterinarians should consult the Equine Disease Communication Center website or the EDCC app to be aware of current outbreaks and to utilize EDCC fact sheets and biosecurity recommendations.

Approved by AAEP board of directors in 2020.

GENERAL BIOSECURITY GUIDELINES

The AAEP Biosecurity Guidelines were developed as an instructional resource for equine veterinarians working collaboratively with clients and industry stakeholders to develop and



implement biosecurity plans on equine facilities.

Biosecurity plans for equine facilities enhance equine health, public health, and business continuity. Biosecurity for equine facilities includes all practices intended to prevent the introduction and minimize the spread of infectious disease agents in equine populations. Veterinarians often provide services for equids in environments at high-risk of infectious disease introduction and transmission, including veterinary clinics, equine event facilities, and stables where there is frequent movement of equids on and off the premises. This document will concentrate on biosecurity recommendations for equine events and stables. Several private and university veterinary hospitals have written biosecurity standard operating procedures for their equine veterinary field practice and clinics. In addition to assisting their clients in developing a biosecurity plan, it is important that the equine veterinarian have a plan to minimize the risk they themselves might pose while providing their professional services. At all times, the veterinarian should serve as a model citizen of biosecurity by demonstrating practices that protect their patients from infectious disease and educating clients as they develop biosecurity programs for their facilities.

While there are overarching infection control principles which have broad applicability across most diseases and facility types, every equine event and every premises is unique. Therefore, it is important for veterinarians to work with other event and/or facility stakeholders in advance of an urgent issue (i.e., BEFORE an outbreak) to develop plans that are practical and effective for the particular facility in question. Many people focus on the “outbreak management” aspect of biosecurity, but arguably more important are the day-to-day biosecurity practices that minimize the likelihood of a disease outbreak in the first place or make it easier to quickly contain an outbreak with minimal disruption and expense.

Therefore, a comprehensive biosecurity plan developed collaboratively with an equine veterinarian includes implementing routine preventative protocols that take into consideration all means by which infectious disease could be introduced and spread, as well as developing protocols for responding to confirmed or suspected cases of infectious disease.

The following document provides step-by-step instruction for practitioners striving to develop effective biosecurity and outbreak response protocols for their clients and practices. It is important that protocols be updated regularly on the basis of information gained in the wake of managing a prior incident or new findings pertaining to specific infectious diseases.



AAEP BIOSECURITY GUIDELINES

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I. Identification of Key Personnel, Important Contacts, and Reference Materials

1. Facility personnel responsible for organization of biosecurity (both routine and outbreak related) should be identified. Responsibilities and numbers of these personnel will vary and are dependent upon the type of facility but there should be a “person-in-charge” and a “chain of command” established. In the event of an outbreak, additional personnel will be required to facilitate immediate actions, such as isolation of affected horses. These individuals should be designated ahead of time.
2. Other contacts to identify and record:
 - a. State and Federal Animal Health Official
 - b. State Office of Public Health
 - c. Event or Stable Veterinarian
 - d. Veterinary diagnostic laboratory of choice
 - e. Competition/Event Manager
 - f. Equine Event Facility manager if different than the event manager
 - g. Governing body of event
 - h. Carcass removal company
 - i. Referral hospital(s) for treatment of ill equids
 - j. Potential locations for off-site isolation of exposed and/or ill horses
 - k. Local feed store
 - l. Manure and bedding disposal company
 - m. Farrier
3. [The Equine Disease Communication Center](#) is an excellent resource for outbreak alerts, disease information, state veterinarians and reportable diseases by state, as well as additional advice on biosecurity.
4. A [Biosecurity Worksheet](#) is provided to assist veterinarians in taking a practical approach to the development and implementation of biosecurity protocols

II Routine Biosecurity Protocols

1. Equine entry onto the premises
 - a. Routine requirements
 - i. For events or stables, restrict entry to healthy equids only and set policy for refusing entry of equids displaying clinical signs of infectious disease ([see Section III.b.iii](#)). Ideally, staff should observe equids upon arrival to confirm animal identification, check health documents and observe equids for general signs of good health. Consideration can be given to the requirement for a recent certificate of veterinary inspection (CVI) and certification by the exhibitor or owner regarding the horse's recent disease exposure history.
 - ii. New entries to stables where there are long-term resident equids should be isolated from the resident equids for 2-3 weeks and monitored for signs of contagious disease. During this time, equipment should not be shared among new and resident equids, and caretakers should ideally follow protocols described in

[Section III.](#)



- iii. Resident equids returning to their home stable from an event should be fully isolated or at least have their temperatures checked twice daily for at least 1 week to allow early detection of disease.
 - iv. It is good practice to segregate equids on a facility by use and age. For example, show equids should be segregated from resident broodmares and their foals.
 - v. Premises may require that equids have documentation of specific vaccinations (See [AAEP Vaccination Guidelines](#) for recommendations).
 1. For premises with increased public exposure risks, a rabies vaccination requirement is prudent to protect both animal and public health.
 - vi. Apply animal health standards for other species of animals (e.g., cattle) entering the premises.
 1. Recommend housing different species of animals separate from equine populations.
 - vii. Equids belonging to the same owner or trainer should be housed together with empty stalls between groups of equids if possible.
- b. Requirements for entry during local disease outbreak
- i. When an infectious disease outbreak occurs locally, additional restrictions should be applied for animal entry to events or stables.
 - ii. Restrict entry to equids for which the owner/agent provides a CVI issued within 7 days of arrival at the event venue. A CVI issued 72 hours before arrival is optimal. If a CVI is not required, then an owner/agent [declaration statement](#) attesting that the listed equid(s) arriving at the premises has/have been healthy with no clinical signs of a contagious disease or body temperature(s) above 101.5°F (38.61°C) for the preceding 7 days may be warranted.
 - iii. Additional health requirements may be required such as a written statement on the CVI which attests to the equid's health and exposure status. For example, an additional requirement may include a statement that "The listed equid(s) has/have not been on a premises with a confirmed case of neurologic form of EHV-1 in the preceding twenty-one (21) days" if there is a local outbreak of neurologic EHV-1.
- c. Facility records should be maintained on equid movements (entering, remaining on, and exiting the premises), location of individual animals, and equid health status procedures (monitoring and treatment records).
2. Equine Health Monitoring
- a. **Continuous health monitoring of all equids on the premises should be required.** This is the key to early identification and containment of infectious disease with minimal disruption.
 - i. Options include having designated staff performing periodic walk-throughs of stables to directly observe equids for any clinical signs of disease or relying on self-reporting of disease by exhibitors or owners (the requirement for which should be stipulated in entry forms or boarding agreements).



- ii. Any sign of disease should be reported to the designated individual with the authority to initiate immediate disease control measures, such as isolation.
 - iii. Requirements at events should include taking equid temperatures twice daily and documenting temperature readings in a log. Consider requiring the posting of a temperature monitoring log on the stall door which allows designated staff to easily perform checks on temperature recordings. To ensure compliance with the equid temperature monitoring requirement, staff should perform random audits of logs.
 - iv. Owners of equids at boarding stables should be instructed to report clinical signs of disease in their equid to the facility owner or manager.
3. General Protocols
- a. Water sources
 - i. Communal water sources should not be offered at events and exhibitors should be instructed to use their own buckets and to not share any type of equipment with other exhibitors.
 - ii. To avoid cross-contamination, hoses should not be allowed to touch or submerge in water buckets while filling.
 - b. Housing
 - i. Stalls should be cleaned regularly, and waste stored in an area remote from equids. Equipment used for cleaning stalls should not be used for feed and vice versa, e.g., the same wheelbarrow used to transport soiled bedding should not be used to move feed.
 - ii. Stall designs and construction impact infectious disease transmission within facilities. Housing that prevents equid to equid contact over or through walls, and/or prevents equids from reaching into the barn aisle can limit disease transmission.
 - iii. Stalls should be cleared of bedding and disinfected between each horse.
 - 1. Stall cleaning and disinfection starts with removal of all buckets, hay nets, feed tubs, stall webbings, metal grates, etc. followed by scrubbing with detergent solution, rinse, then disinfection. Disinfectant solutions require appropriate surface contact time and should be applied according to product label directions. Finally, surfaces are rinsed thoroughly with potable water and allowed to dry.
 - 2. For stalls with non-porous walls and floors (ideal situation):
 - a. The most important step in sanitizing livestock facilities is the cleaning (detergent) step.
 - b. Wet down all surfaces -- walls, ceilings, ledges (top of walls) -- with detergent and water. Powdered laundry detergent can be used; some veterinary disinfectants also have a detergent incorporated in the mix.
 - c. Allow 5-10 minutes for the detergent liquid to soften dried organic material, then scrub surfaces



- with a stiff-bristled broom used only for stall cleaning.
- d. Rinse, beginning at the top of walls and working toward the drain. Repeat until surfaces are clean, including corners, ledges, and drains. NOTE: Do not use power washers set at >120 psi, as they can aerosolize pathogens. A garden hose with a regular nozzle is acceptable.
 - e. Squeegee excess water off surfaces or allow them to dry.
 - f. Carefully read all disinfectant labels and implement necessary protective clothing as well as eye and respiratory protective equipment prior to starting the disinfection step of cleaning and disinfection procedure.
 - g. Apply disinfectant according to label directions to all vertical and horizontal surfaces, starting at the top of stall walls and working from the far end of the stall to the exit. Allow to dry.
 - h. Repeat disinfection may be necessary for difficult to inactivate pathogens, such as *Salmonella* and rotavirus. Herpes and influenza viruses are more susceptible to detergents and disinfectants and one cycle is generally sufficient.
3. If stalls are constructed of porous materials (untreated wood construction, dirt, or clay flooring, etc.), it must be recognized that these are extremely difficult to adequately clean and disinfect.
 - a. Remove all bedding and organic matter and thoroughly dry scrub all surfaces to remove as much organic matter as possible.
 - b. Follow up by scrubbing stall walls with a detergent solution. Cleaning with large quantities of water can turn dirt or sand floors into a slurry and should be avoided.
 - c. Disinfectants sprayed on porous surfaces may yield inadequate results, and the effectiveness of application will depend upon the targeted organism and the amount of organic material still present.
 - d. Sunlight exposure may be helpful for inactivation of potential pathogens (Weese *et al*, Survival of *Streptococcus equi* on surfaces in an outdoor environment. *Can Vet J.* 2009;50(9):968-70).
 - e. Stalls should be allowed to dry with open ventilation and sunlight for as long as feasible.
 4. Improving air circulation and ventilation in barns reduces ammonia levels and may help reduce transmission of respiratory and airborne pathogens.



5. It is important to remember that exposure as a result of shared air spaces may differ by pathogen. For example, for airborne pathogens such as influenza, all equids stabled under one roof would all be considered exposed, however, in an outbreak of *Streptococcus equi*, more direct contact would be required for a horse to be considered exposed.
- c. General recommendations for disinfectant use
 - i. Follow all product label instructions, especially precautionary warnings and personal protection equipment requirements for proper use and disposal.
 - ii. **DO NOT** mix disinfectants with other chemicals.
 - iii. Select a disinfectant that has documented effectiveness in the presence of organic matter, works in the water hardness of the locale, and is safe to use around equids and humans.
 - iv. Diluted bleach is readily inactivated by organic matter; use only after thorough cleaning. **Note:** Diluted bleach is the only practical, commercially available disinfectant that kills clostridial spores.
 - v. Viruses with envelopes (e.g., influenza, herpesviruses 1 & 4, equine arteritis virus, etc.) are readily inactivated by detergents and disinfectants.
 - vi. Phenolic and peroxygen based products are effective for viruses lacking an envelope (e.g., rotavirus).
 - vii. Determine where drains discharge prior to using detergents and disinfectants. Certain detergents and disinfectants cannot be discharged directly into bodies of water.
 - d. Disinfectant Resources for Practitioners
 - i. [AAEP disinfectant table](#) provides practical information of common equine pathogens and the efficacy of disinfectants on various surfaces and materials.
 - ii. Disinfection 101 from The Center for Food Security and Public Health at Iowa State University
 - iii. [Table of Characteristics of Selected Disinfectants](#) from The Center for Food Security and Public Health at Iowa State University
 - e. Hand Hygiene
 - i. If equids are being handled for inspection by facility staff for any reason, hands should be washed between equids or at least between groups of equids owned by different exhibitor groups. Alternatively, disposable gloves could be worn and changed between patients.
 - ii. Whenever possible, touching the equid should be avoided. For example, in bit inspections, the handler can remove the bit from the equid's mouth without the inspector contacting the bit or equid.
 - iii. If contact between the public and equids cannot be avoided or is encouraged (e.g., petting zoo situation), handwashing or sanitizing facilities should be strategically placed to encourage use.
 - iv. Instructions for handwashing



1. Hands should be washed under running water with pump-dispensed liquid soap (not bar soap) for a minimum of 20 seconds.
 2. If facilities are not available for handwashing, hand sanitizer containing at least 61% alcohol should be used and allowed to dry for 10-15 seconds. Hand wipes should be available to remove all organic debris prior to using hand sanitizer. Caution: avoid exposure to open flame due to flammability.
 3. Extensive information about hand hygiene is available through the [Centers for Disease Control and Prevention](#).
 4. Also, please [see this article](#) from the AAEP proceedings on hand hygiene protocols in the equine veterinary setting
- f. Equipment and Supplies
- i. Equid-specific equipment (feed tubs, water buckets, halters, pitchfork, wheelbarrow, etc.) should be clearly identified as belonging to an individual equid and should be used only for that equid or the group of equids. Ideally, color-coded (a strip of colored tape works well) buckets and cleaning equipment should be used for groups of equids.
 - ii. Shared equipment (lead shanks, lip chains, bits/bridles, twitches, dose syringes, thermometers, grooming supplies) should be cleaned of organic debris and disinfected between equids.
 1. All equipment should be thoroughly scrubbed and cleaned with a detergent and water, rinsed, disinfected, and followed by a final rinse. This should be done in an area with minimal foot and vehicular traffic flow that can be cleaned and disinfected after this procedure (e.g., on a solid surface with a drain rather than a grazing area)
 2. Cloth items (saddle cloths, towels, bandages, halter fleeces, rub or wipe rags) should be laundered and thoroughly dried between each use. Disinfectant may be added to rinse water, but an additional rinse cycle must be included to remove disinfectant residue.
 3. Tack and other equipment which cannot be completely disinfected should be cleaned as well as possible and then placed in the sun until dry or as long as feasible, as sunlight inactivates many potentially infectious agents.
 - iii. Equipment that cannot be effectively disinfected (sponges, brushes not designed to be disinfected) should not be shared between equids. Multiple dose medications (oral pastes/ophthalmic ointments, etc.) should be labeled for use by a specific equid and not shared.
 - iv. Ointments/topical medications should be removed from larger tubs and aliquoted into smaller containers for use on individual equids.
 - v. Horse trailers and vans should be cleaned and disinfected between uses even if there is no known risk of disease. In general, protocols for cleaning stalls can be adapted to the cleaning of trailers and vans. Mats should be removed to allow wood plank floors to dry.



Surfaces around the feeders and cross ties should be given special consideration due to contact with potentially infectious nasal secretions.

- g. Traffic
 - i. The movement of trucks, trailers, tractors, golf carts, wheelbarrows and bicycles around an equine premises have the potential to spread infectious disease agents. Restrict vehicles to designated parking areas and designated routes without animal access to limit risk of disease introduction and spread.
 - ii. Outside supply trucks and non-essential vehicles should not be permitted in the equid stabling area.
- h. Non-equine species
 - i. Dogs and other pets should be prohibited from event grounds. If dogs are to be permitted, leashes should be required.

Certified service animals should be allowed with appropriate restraint and efforts taken to avoid their direct contact with livestock.

- i. Vermin and vector control
 - i. Vermin control is critical, especially for disease agents transmitted through fomites. Simple control measures, such as securing feed storage areas from unwanted wildlife, removing brush and wildlife habitats, instituting rodent control measures, and eliminating areas of standing water, will contribute significantly to the reduction of disease transmission risks on the event premises
 - 1. The [USDA IPM Road Map's](#) Appendix 1A PRINCIPLES OF INTEGRATED PEST MANAGEMENT (IPM) outlines considerations for pest management and implementation. Additional resources are available within the USDA's [Information Resources for Animal Control and Wildlife Damage Management](#).
 - ii. Rodent, bird, and insect control should be evaluated, and further measures implemented, as necessary.
 - 1. The [AAEP External Parasite and Vector Control Guidelines](#) outline recommendations for control of external vectors important in disease transmission.
 - iii. For large premises with significant equid traffic and accumulation of manure and soiled bedding, consult an insect control specialist for the most appropriate recommendations.
 - iv. Individual animals can be protected from insect vectors via topical insect repellents and physical barriers such as face masks with ear protection, leg boots and fly sheets.

III Outbreak Response

1. Prompt isolation of sick equids is critical to the successful control of an infectious disease outbreak.
 - a. Preparation of Isolation Area
 - i. Location and Attributes



1. As far away as possible from general human, equine, and vehicle traffic areas. A pre-designated offsite facility may be preferable.
 2. External perimeter secure and clearly marked with adequate [signage in both English and Spanish](#) designating it as a restricted area.
 3. Set up a temporary pen structure if no suitable permanent stabling is available
 4. Optimal isolation stabling has non-porous flooring, running water, and electricity, and is in an area where run-off will not occur
 5. Openings in stall walls (windows, gaps between boards) should be covered with solid barrier material to prevent equid to equid contact.
 6. Should be accessible to large equipment if necessary to handle a down or deceased equid
 7. A local veterinary hospital should be pre-designated that can treat equids requiring isolation with medical needs that cannot be addressed at the show facility's isolation area
- ii. Supplies
1. An adequate inventory of disposable personal protective equipment in a variety of sizes and other necessary equipment and supplies (including disinfectants as described in section II) should be acquired in advance and stored in a location accessible to the isolation area. In the case of an outbreak, there should be enough supplies to operate immediately until additional supplies can be delivered.
 2. Ensure that adequate trash receptacles with lids and receptacles for sharps and biohazardous materials are conveniently located around isolation area.
 3. List of suggested items
- b. Sick Equid Trigger Point:
- i. The definition of a sick equid and specific trigger points warranting the response of isolation of an equid should be outlined for the premises.
 - ii. Consult local, state, or federal animal health officials to determine specific trigger points and response action for reportable diseases. **Note**, the response to a reportable disease may vary by state; therefore, it is necessary to contact the official in the state where the event is held to determine which are reportable diseases.
 - iii. General recommendations to consider for designation as a response trigger for isolation include detection of:
 1. Body temperature greater than 101.5°F (38.61°C)
 2. Ataxia or recumbency or other neurologic signs
 3. Aggressive behavior or stupor
 4. Passage of frequent loose feces
 5. Oral or coronary band vesicular or ulcerative lesions
 6. Nasal discharge, coughing, and/or lymphadenopathy
 7. Limb or ventral body wall edema especially if it occurs in multiple horses



- c. Entry and Exit Protocols
 - i. All movement in and out of the isolation area should be regulated and recorded, e.g., with check in sheets.
 - ii. Additionally, maintain a log, recording events as they occur, including case identification (which horses got sick), control measures implemented, diagnostic testing results, and communications.
 - iii. Disinfectant footbaths or mats should be placed at all entry and exit points to and from the isolation area and each stall.
 - 1. Disinfectants suitable for footbaths and mats include 10% bleach or peroxygen compounds such as Virkon® S. Read label indication, instructions for use and safety information prior to using any disinfectant. Please see the disinfectant table linked in Section II.C.3 for more information.
 - 2. Disinfectants should be chosen based on environmental temperature considerations. Partially frozen foot baths/mats are likely to have minimal efficacy.
 - 3. The footbaths and mats should be kept as free of organic matter as possible and routinely filled with new disinfectant solution (at least every 2-3 days and preferably daily).
 - 4. Rubber boots or other footwear suitable for disinfection should be worn. If other types of footwear are used, plastic over-boots should be employed and disposed of after each use. The tread of rubber boots should be kept free of organic debris with a brush.
 - iv. Handwashing or hand sanitizer stations should be placed at all entry and exit points to and from the isolation area and each stall (See section II.C.4 for information on hand hygiene). Hand hygiene should be performed before entering and when leaving each stall, and before entering and leaving the isolation area.
 - v. Personnel should don a protective gown and latex or nitrile gloves before entering a stall to examine or care for an equid. Gowns and gloves should be disposed of after each use and between equids in a covered refuse container. If a cloth gown is used, it should only be used once and then laundered.
 - vi. Caretakers should be provided with a changing area. Clothes should be changed and laundered, and footwear changed or disinfected after leaving the isolation area and before handling other equids.
 - vii. All necessary supplies should be in the isolation area before moving the sick equid into the area. If necessary, additional supplies may be brought to an area adjacent to the isolation area for easy transfer. Designated equipment should remain in the isolation area.
- d. Care, monitoring, and testing of sick equid(s) in isolation
 - i. ANYTHING that touches an infected equid, and its secretions or excretions has the potential to transmit pathogens to other equids. Pathogens can be indirectly transmitted to other equids on equipment, tack, hands, footwear, or clothes.
 - ii. Ideally, designated trained staff provided by the facility should work exclusively in the isolation area to care for equids and designated



equipment should remain in the isolation area. If multiple individuals are moving in and out of isolation to care for equids, extreme care must be exercised in following biosecurity protocols, especially if these individuals are also caring for well equids not in isolation. This situation is not ideal.

- iii. If it is unavoidable that an individual has to provide care to both affected and unaffected animals, then the following precautions should be observed:
 1. Care of healthy, unexposed animals (feed/groom/exercise/muck stall) should be completed first
 2. Exposed but healthy animals next
 3. Affected/sick animals last
- iv. The health of all equids in isolation should be closely monitored and necessary supportive care and medical treatments provided. If required medical care exceeds the capabilities of the isolation unit, the equid should be transferred to an isolation facility at a referral veterinary hospital.
- v. Depending on clinical presentation, determine the samples for diagnostic testing and send to pre-determined diagnostic laboratory in order to confirm or rule-out specific infectious diseases of interest.
- vi. Manure and soiled bedding from stalls of sick equids should not be put in open air piles or pits or spread on pastures. It should be placed in heavy plastic bags or covered secure dumpsters for disposal in a landfill. If the disease is zoonotic, any potentially infectious waste should be disposed of by the method recommended by public health officials.
 1. Composting can be a successful method, but care must be taken to follow specific guidelines. Reach out to local organics or composting professionals for guidance.
- vii. If a professional laundering service is used, they should be informed if any of the materials are potentially infectious. If barn laundering facilities are used, the washing machine should be cleaned by running empty with a suitable disinfectant following use on potentially infectious materials.
- viii. All equids demonstrating neurologic clinical signs with no confirmed diagnosis should be clearly marked with a “rabies suspect” sign on the stall and reported to public health authorities. Restrict personnel access to the equid and ensure that anyone contacting the equid wears double gloves, protective clothing, and splash protective equipment (face shield or goggles) as necessary. Record the names of all who make contact with the equid in a log so that they can be contacted in the event of a positive rabies diagnosis. See AAEP Rabies Guidelines for further information.
- ix. If euthanasia is required, the ideal location is on a remote area of the grounds accessible to large equipment or trucks, with no public access.
 1. If euthanizing an animal that has been quarantined by the State, contact the State or Federal Animal Health Official for permits and guidance for disposal and movement.



2. Consider collecting appropriate biologic samples prior to euthanasia, if not already performed, for banking and subsequent testing. The method of euthanasia should be considered in light of suspected disease.
 3. Someone capable of removing or burying carcasses should be identified in advance of necessity.
 4. The route of a rendering truck or dead stock hauler on and off the premises should not cross any live equid routes or exercise areas.
 5. Necropsy of any equid that dies or is euthanized should be strongly recommended and optimally performed off-site at a veterinary diagnostic laboratory. The State Animal Health Official should be consulted in case they would like to request specific and expedited tests. In the case of a potential zoonosis, necropsy is essential to protect public health.
- e. Release of equids from isolation
- i. The state or federal animal health official will be in charge of determining release protocols in the event of a reportable disease.
 - ii. The event veterinarian and management should work together to determine isolation release protocols in cases of non-reportable potentially contagious diseases.
 - iii. In general, potentially exposed equids should be maintained separate from the general population at the event until one of the following occurs:
 1. The index equid no longer has clinical signs and tests negative for all suspected infectious disease agents
 2. A non-contagious disease is confirmed
 3. A time period of appropriate surveillance has passed, or diagnostics have been performed, confirming disease transmission has not occurred.
 4. Permission is given by the appropriate authorities to move the equid to another location.
2. Management of premises not in primary isolation perimeter
- a. Exposure assessment and risk assignment of equids without clinical disease
 - i. High Risk: An equid that had direct contact (nose to nose, shared fence-line) with a sick equid
 - ii. Moderate Risk: An equid that may have had indirect contact (communal water trough, shared wash rack, shared equipment, common personnel) with a sick equid
 - iii. Exposure assessments may vary depending upon disease agent. In the case of a disease such as equine influenza that is transmitted over longer distances than a bacterium such as *Streptococcus equi* subsp. *equi*, high risk equids may include all equids sharing air space (i.e., in the same barn or transported in the same trailer/van) as affected equid(s).
 - b. Restrictions on equid movement during an outbreak
 - i. Restrictions on equids will vary dependent upon risk assignment and the disease agent



- ii. The state or federal animal health official will be in charge of determining restrictions on at-risk equids in the event of a reportable disease.
 - iii. The event veterinarian and management should work together to determine restrictions in cases of non-reportable potentially contagious diseases.
 - iv. In general, equids that are at high risk would have more stringent restrictions and monitoring than low risk equids. Following biosecurity procedures similar to those used in isolation for higher risk equids is recommended to prevent further disease spread. Higher risk equids should be exercised separately, preferably in a different arena, from equids in lower risk groups.
 1. It is recommended participants/boarders sign an agreement with the event/facility stating they will abide by all disease outbreak restrictions and protocols.
 - v. Temporary movement restrictions may be necessary until assessment of the situation is complete, especially in higher risk or higher consequence disease situations, after which permission for allowing certain movements on the premises may occur. Policies should be communicated, preferably face to face, to those impacted, and enforcement of policies should be consistent and fair.
 - vi. A plan for promptly closing the premises should be developed in the event it is needed, with procedures outlined to redirect personnel resources to close and lock gates, block roadways to and from the premises with barriers, and monitor entry and exit of vehicles.
 - vii. It is essential that facility management be aware of what equids are on the premises and where they are stabled. This ideally is a routine practice but is especially important in an outbreak. This may require barn to barn inspection and documentation.
 - viii. A check-out protocol is necessary for equids whose owners are given permission to move them from the premises. A basic check-out process includes follow-up owner/agent contact information (cell phone number and email address), documentation of equid identification, and the intended destination for the equid. This simplifies follow-up if necessary.
- c. Monitoring of equids during an outbreak
- i. Continuous health monitoring of all equids on the premises is a priority during an infectious disease outbreak.
 - ii. Recommend event or facility managers predetermine the consequences of noncompliance with biosecurity protocols and notify individuals prior to horse entry.
 - iii. Designated, knowledgeable, experienced individuals should perform periodic walk-throughs of stables directly observing equids for any sign of clinical disease while abiding by appropriate biosecurity when moving around the facility. Movement should be determined by risk factors and be from low to high-risk areas.
 - iv. Owners/trainers/grooms of equids should be required to monitor their equids for signs of disease and report any clinical signs to show management or attending veterinarian.



- v. Temperatures should be taken on equids twice daily and documented in a log displayed on the stall door for easy assessment. Temperatures should not be taken immediately after exercise, i.e., they should be obtained after equids are cooled out to avoid spurious elevations.
 - vi. An equid body temperature over 101.5°F (38.61°C) should be immediately reported to management. Equids with temperatures between 100°F (38.61°C) and 101.5°F (38.61°C) should be monitored for other signs of disease and have the temperature retaken in 1 hour.
 - vii. Equids demonstrating “sick equid triggers” outlined in III.A.2 should be moved to the isolation area and managed there.
 - viii. Consideration should be given to updating or initiating vaccination in at risk equids when appropriate. Please [see AAEP Vaccination Guidelines](#) for further information.
- d. Additional restrictions and recommendations for disinfection
- i. Since dogs or other pets may carry infectious disease agents from one location to another on the premises, no dogs should be on the grounds during an infectious disease outbreak. Require owners with dogs onsite to immediately remove dogs from the grounds. Dogs should not be placed in trailers or vehicles due to the possibility of escape, barking and temperature stress.
 - ii. Immediately clean equipment of organic matter, thoroughly scrub with detergent and water, rinse, dry and disinfect all previously shared equipment (lead ropes, chains, bits, twitches, thermometers, grooming supplies, etc.). Items, such as tack, to which disinfectants cannot be applied, should be cleaned, and allowed to dry in the sun, since sunlight inactivates/kills many pathogens. Sharing of equipment should be discouraged, but any equipment which must be shared should be cleaned and disinfected between uses.
 - iii. During a disease outbreak, it is essential to communicate disease biosecurity measures to visitors. Keep visitors out of the equid areas and inform them of proper biosecurity measures if they are returning to equid premises.
 - iv. Steps to limit direct and indirect equid contact are necessary. All areas which are touched by human hands or by equids, such as fences, wash racks, bathroom sinks, faucets, light switches, and door handles, should be cleaned and disinfected at least daily. Common use items, such as wash stall cross ties and washing equipment, should be removed and personnel should be required to use their own equipment. Monitor exercise and exhibition areas to ensure that minimal direct or indirect equid-to-equid contact occurs. Restrict individuals from tying equids to fencing outside the arenas or stabling areas, since fencing can be contaminated by secretions of an infected equid. Indoor arenas and indoor stabling can potentially increase the risk of aerosol spread. Indoor arenas may be taken out of use, and individuals required to utilize outdoor arenas if aerosol pathogen spread is suspected.
 - v. During an infectious disease outbreak, only the owner or designated personnel should handle equids on the premises. Limit the sharing of personnel between barns or trainers. Supply additional hand washing



stations and signage during the outbreak to enable equid handlers to perform proper hand sanitation after handling each equid.

- vi. Thorough cleaning and disinfection of the premises at the beginning of an infectious disease outbreak can significantly reduce the potential for disease agent spread. Start with the removal of all manure, soiled bedding, and uneaten feed, then remove residual organic matter by washing all surfaces with soap and water before the application of a disinfectant. To limit vehicle traffic on and off the premises, consider ordering bulk disinfectant supplies for delivery to a designated biosecure area on the grounds.
 - vii. Sunlight inactivates/kills many pathogens. After cleaning and disinfecting buckets, tack, and equipment allow them to dry in the sunlight if possible. After cleaning and disinfection for some pathogens, like *Salmonella*, it may be necessary to obtain test samples of the environment to determine elimination of the organism.
 - viii. Request that individuals clean and disinfect their equipment, trailer, and vehicle before leaving the grounds.
 - ix. The plan should include feed store contact information to re-arrange for feed and bedding delivery. Delivery protocols that require the cleaning and disinfection of trucks upon entry and exit may be warranted. Vendor personnel may also be required to use disposable coveralls and disposable footwear covers when delivering supplies (i.e., grain, hay, supplements, bedding). Management should assess the potential feed and bedding needs on the premises and consider necessary arrangements for a single delivery to a designated area. To minimize disease spread on the grounds, designate personnel to be responsible for the delivery of the feed to the barns. Deliveries should be first to low risk/healthy equids, then exposed equids and lastly to clinical equids.
 - x. All shared facilities/equipment (e.g., detention barn stalls, receiving barn stalls, starting gate, equine ambulance) should be cleaned and disinfected after each use.
 - xi. Horse trailers and vans should be routinely cleaned and disinfected after each use, but especially after being used to transport ill or potentially ill animals.
 1. Management should predetermine a location for cleaning and disinfection in accordance with Environmental Protection Agency (EPA) guidelines and any applicable local jurisdiction.
- e. Communication
- i. Clear and concise signage and messaging to all on the grounds is essential. During an infectious disease outbreak, there is limited time to develop adequate signage, so developing critical messaging before an outbreak and having clear attention-getting signs available for use in an outbreak will aid in prompt effective communication and successful implementation of enhanced biosecurity and infectious disease control plan measures. Decide in advance where signage will be posted. See link to suggested signs in English and Spanish in section III.A.1.
 - ii. Notification of all affected parties is a critical component for an effective infectious disease control plan. Development of clear, concise, and



accurate messages about a situation, the measures being taken and the procedures for owner/trainers/grooms to follow is critical to prevent the spread of disease and panic among the group. This may be best accomplished by issuing a press release in high profile situations.

- iii. Before a disease outbreak, outline a communication plan to notify staff, trainers, owners, public and vendors of an incident. Consider incorporating several communication modalities to ensure rapid, unified messaging to a large audience. Contact information for other individuals who may be able to assist during an infectious disease outbreak should be organized and readily available. Create a complete emergency contact list and provide it to all staff at the beginning of the disease event. Consider having a public relations specialist develop a communication plan and have their contact information readily available for provision of messaging at the appropriate level and preparation of timely updates.

Additional Resources

1. [Biosecurity instructions for grooms/caretakers](#) should be provided in English and Spanish.
2. Please see this article from AAEP Proceedings on [management of infectious disease outbreaks](#) for more information.

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Supported and reviewed by: AAEP Infectious Disease Committee