



STEWARDS HANDBOOK

RACETRACK SAFETY PROGRAM

EFFECTIVE JULY 8, 2024

TABLE OF CONTENTS

2010	Definitions	2
2210	Purpose and Scope	7
2215	Welfare and Deprivation of Care	8
2240	Veterinarians' List	10
2241	Duration of Stay on the Veterinarians' List	12
2242	Removal of Horses from the Veterinarians' List	14
2251	Veterinary Reports	16
2252	Responsible Persons' Records	19
2253	Records for Horses Shipping to the Racetrack	21
2261	Transfer of Claimed Horse Records	23
2262	Void Claim	24
2263	Waiver Claiming Option	28
2271	Prohibited Practices	29
2272	Shock Wave Therapy	31
2273	Other Devices	33
2274	Other Device Penalties	34
2275	Communication Devices	35
2276	Horseshoes	36
2280	Use of Riding Crop	37
2281	Riding Crop Specifications	39
2282	Riding Crop Violations and Penalties	41
2283	Multiple Violations	44
2284	Redistribution of Purse	46
2285	Intermediate Appeal of Violations	47
2287	Provisional Suspension of Registration	49
2291	Jockey Eligibility	53
2292	Jockey and Exercise Rider Medical History Information	54
2293	Equipment	55
2294	Weight of Riders	57

2010. Definitions¹

When used in the Rule 2000 Series:

Act shall have the meaning set forth in Rule 1020. (*Act* means the Horseracing Integrity and Safety Act of 2020 ([15 U.S.C. 3051-3060](#)), as amended from time to time).

Adverse Analytical Finding shall have the meaning set forth in Rule 1020. (*Adverse Analytical Finding* (“AAF”) means a report from a Laboratory that, consistent with the Laboratory Standards, establishes in a Sample the presence of a Prohibited Substance or its Metabolites or Markers or evidence of the Use of a Prohibited Method.)

Association Veterinarian shall have the meaning set forth in Rule 1020. (*Association Veterinarian* means a Veterinarian employed by a Racetrack.)

Attending Veterinarian shall have the meaning set forth in Rule 1020. (*Attending Veterinarian* means a Veterinarian providing treatment or services to Covered Horses hired or otherwise authorized by the Trainer or Owner or his or her respective designee.)

Authority shall have the meaning set forth in Rule 1020. (*Authority* means the Horseracing Integrity and Safety Authority designated by section 3052(a) of the Act.)

Catastrophic Injury means an Equine Injury that resulted in death or euthanasia of a Covered Horse within 72 hours of injury.

Claim shall have the meaning set forth in Rule 1020. (*Claim* means, in the context of a Claiming Race, the purchase of a Covered Horse for a designated amount.)

Claiming Race shall have the meaning set forth in Rule 1020. (*Claiming Race* means a Covered Horserace in which a Covered Horse after leaving the starting gate may be claimed in accordance with the rules and regulations of the applicable State Racing Commission.)

Commission shall have the meaning set forth in Rule 1020. (*Commission* means the Federal Trade Commission.)

Concussion means an injury to the brain that results in temporary loss of normal brain function.

Covered Horse shall have the meaning set for in Rule 1020. (*Covered Horse* means any Thoroughbred horse, or any other horse made subject to the Act by election of the applicable State Racing Commission or the breed governing organization for such horse under section 3054(I), during the period: (A) beginning on the date of the horse’s first Timed and Reported Workout at a Racetrack that participates in Covered Horseraces or at a training facility; and (B) ending on the date on which the horse is deemed retired pursuant to Rule 3050(b).).

¹ For all definitions in Rule 2010 that reference a definition established in a Rule Series other than the Rule 2000 Series, the relevant text of the definition as it appears in the other Rule Series appears in parentheses after the Rule 2010 definition, for the convenience of the reader.

Covered Horserace or *Race* shall have the meaning set forth in Rule 1020. (*Covered Horserace* means any horserace involving Covered Horses that has a substantial relation to interstate commerce, including any Thoroughbred horserace that is the subject of interstate off-track or advance deposit wagers.)

Covered Person shall have the meaning set forth in Rule 1020. (*Covered Person* means all Trainers, Owners, Breeders, Jockeys, Racetracks, Veterinarians, Persons licensed by a State Racing Commission, and the agents, assigns, and employees of such Persons; any other Persons required to be registered with the Authority; and any other horse support personnel who are engaged in the care, treatment, training, or racing of Covered Horses.)

Designated Equine Facility means an equine facility designated by a Racetrack in accordance with the procedures established in Rule 2144, whose biosecurity protocols are consistent with those of the Racetrack, and from which the Racetrack will accept horses onto its grounds with a valid health certificate issued within the last 30 days or in a shorter period of time if high risk situations dictate.

Designated Owner shall have the meaning set forth in Rule 1020. (*Designated Owner* has the meaning given to it in Rule 3020(c)). (Rule 3020(c)(2)(ii): if the Covered Horse is owned by more than one individual or by a partnership, corporation, limited liability company, syndicate, or other association or entity, the individual designated in the Authority's database as the representative for the other owners of the Covered Horse authorized to receive communications or notifications and fulfill any reporting requirements on their behalf in respect of the Covered Horse (Designated Owner).

Epistaxis means that blood from one or both nostrils of a Covered Horse has been observed after exercise, attributable to an episode of exercise induced pulmonary hemorrhage.

Equine Injury means an injury to a Covered Horse that occurred during racing or training for which intervention by the Regulatory Veterinarian or reporting by the Safety Director pursuant to Rule 2131 is required, and for which an injury report must be submitted pursuant to the Rule 2000 Series.

Equine Mortality means a fatality of a Covered Horse that is not attributable to a Catastrophic Injury.

Exercise Rider means a rider of a Covered Horse during a training activity that is not a Covered Horserace.

Farrier means a farrier (or horseshoer, plater or blacksmith) who provides all aspects of hoof care or orthotic services to Covered Horses, including trimming and/or the application of various orthotics to the hoof.

Groom means a Covered Person who is engaged by a Responsible Person to assist in the daily physical care of Covered Horses.

Horseshoe Inspector means a person (for example, a paddock farrier) employed, contracted, or appointed by a State Racing Commission, Racetrack, or the Authority, who has been

trained in, and is responsible for, inspecting horseshoes or other orthotics on hooves of Covered Horses.

Human Injury means an injury to a Covered Person that requires medical attention and, as a result, may restrict a Covered Person's current or future participation or employment in racing, and for which an injury report must be submitted.

Jockey means a rider licensed in any state and registered with the Authority to ride a Covered Horse in a Covered Horserace.

Layoff Report means a report completed in a manner prescribed by the Authority and submitted by the Trainer or Trainer's designee for a Covered Horse that has not raced in a Covered Horserace for 150 consecutive days or more. The Layoff Report shall include, at a minimum, information regarding all examinations, medical treatments, surgical treatments, and exercise history of the Covered Horse during the layoff period.

Lead Veterinarian means any Veterinarian appointed pursuant to Rule 2134(c).

Medical Director means an individual designated as Medical Director in accordance with the provisions of Rule 2132.

Outrider means a rider employed or contracted by the Racetrack who oversees and assists with the safety of all Riders, Trainers, and horses on the Racetrack.

Owner shall have the meaning set forth in Rule 1020. (*Owner* means a person who holds an ownership interest in one or more Covered Horses.)

Person shall have the meaning set forth in Rule 1020. (*Person* means a natural person or an organization or other entity.)

Pony Horse means a horse, including the Outrider's horse, that accompanies a Covered Horse(s) during training or racing activities.

Prohibited List shall have the meaning set forth in Rule 1020. (*Prohibited List* means the list identifying Prohibited Substances and Prohibited Methods set forth in the Rule 4000 Series.)

Prohibited Methods shall have the meaning set forth in Rule 1020. (*Prohibited Method* means any method so described on the Prohibited List.)

Prohibited Substance shall have the meaning set forth in Rule 1020. (*Prohibited Substance* means any substance or class of substances so described on the Prohibited List or the Technical Document–Prohibited Substances.)

Protocol shall have the meaning set forth in the Rule 1020. (*Protocol* means the Rule 3000 Series (Equine Anti-Doping and Controlled Medication Protocol), as amended from time to time.)

Race Day shall have the meaning set forth in Rule 1020. (*Race Day* means the period commencing at 12:01 a.m. on the day of a Vets' List Workout or Covered Horserace and ending (i) 1 hour after the end of such Vets' List Workout or Covered Horserace or (ii) at the end of

any Sample Collection Session conducted at that Vets' List Workout or Covered Horserace when the Covered Horse is released from the Test Barn, whichever is later.)

Race Meet means the entire period granted by the State Racing Commission to a Racetrack for the conduct of Covered Horseraces on the Racetrack's premises.

Racetrack means an organization licensed by a State Racing Commission to conduct Covered Horseraces.

Racetrack Risk Management Committee means the committee established pursuant to Rule 2121.

Racetrack Safety Accreditation or Accreditation means the process for achieving, and the issuance of, safety Accreditation to a Racetrack in accordance with Rules 2100 through 2193.

Racetrack Safety Committee means the committee (or its delegate) established pursuant to 15 U.S.C. 3052(c)(2).

Regulatory Veterinarian shall have the meaning set forth in Rule 1020. (*Regulatory Veterinarian* means a Veterinarian who is employed, contracted, or appointed by a State Racing Commission, Racetrack, the Authority, or the Agency to monitor the health and welfare of Covered Horses, in addition to any other duties assigned to him or her by the Authority or the Agency.)

Responsible Person shall have the meaning set forth in Rule 1020. (*Responsible Person* has the meaning given to it in Rule 3030.) (Rule 3030(a) (in part): "Responsible Person" means the Trainer of the Covered Horse. If the Covered Horse does not have a Trainer, the Responsible Person shall be the Owner of the Covered Horse.)

Rider means any person who is mounted on a Covered Horse or Pony Horse on the Racetrack, including a Jockey.

ROAP means the Racing Officials Accreditation Program.

Safety Director means an individual designated as, and having the responsibilities of, a Safety Director as set forth in Rule 2131.

Safety Officer means an individual designated as, and having the responsibilities of, a Safety Officer as set forth in Rule 2136.

Safety Program Effective Date means July 1, 2022.

Shock Wave Therapy means extracorporeal shock wave therapy or radial pulse wave therapy.

Starting Gate Person means any individual licensed as a starter, assistant starter, or any individual who handles Covered Horses in the starting gate.

State Racing Commission shall have the meaning set forth in Rule 1020. (*State Racing Commission* means an entity designated by State law or regulation that has jurisdiction over the conduct of horseracing within the applicable state.)

Steward or *Stewards* shall have the meaning set forth in Rule 2133.

Timed and Reported Workout shall have the meaning set forth in Rule 1020. (*Timed and Reported Workout* means an officially timed and published running of a Thoroughbred horse over a predetermined distance that is not a horserace, as reported by Equibase or any official supplier of racing information and statistics recognized by the Authority. Official timed workouts shall have the same meaning as Timed and Reported Workouts. Any official timed workout by a Thoroughbred horse in any other jurisdiction shall be deemed a Timed and Reported Workout upon the earliest to occur of the following: (i) the horse is brought to the United States for purposes of participating in any Covered Horserace; or (ii) the horse is nominated for a Covered Horserace.)

Traction Device means any device that extends beyond the ground surface of the horseshoe and includes but is not limited to inserts, wear plates, rims, toe grabs, bends, jar calks, stickers, ice nails, frost nails, and mud nails.

Trainer shall have the meaning set forth in Rule 1020. (*Trainer* means an individual engaged in the training of Covered Horses.)

Training Facility shall have the meaning set forth in Rule 1020. (*Training Facility* means a location that is not a Racetrack licensed by a State Racing Commission that operates primarily to house Covered Horses and conduct Timed and Reported Workouts.)

Veterinarian shall have the meaning set for in Rule 1020. Notwithstanding any provision set forth in the Rule 9000 Series (Registration Rules), a Veterinarian who provides veterinarian services to Covered Horses shall register with the Authority. (*Veterinarian* means a licensed veterinarian who provides veterinary services to Covered Horses.)

Veterinarians' List means a list maintained, or approved for use, by the Authority of all Covered Horses that are determined to be ineligible to compete in a Covered Horserace in any jurisdiction until released by a Regulatory Veterinarian.

Vets' List Workout shall have the meaning set forth in Rule 1020. (*Vets' List Workout* means an officially timed running of a Covered Horse over a predetermined distance that is not a Covered Horserace but is overseen by a Regulatory Veterinarian or Racetrack steward.)

Workout shall have the meaning set forth in Rule 1020. (*Workout* means a timed running of a horse over a predetermined distance not associated with a race or its first qualifying race, if such race is made subject to the Act by election under section 3054(l) of the Act of the horse's breed governing organization or the applicable State Racing Commission.)

Purpose: Rule 2010 sets forth defined terms used in other Rules. The definitions serve to ensure proper understanding and interpretation of those rules.

STEWARDS' HANDBOOK

TITLE	Purpose and Scope
REG. REFERENCE #	2210
VERSION NUMBER	1.1

2210. Purpose and Scope

(a) The purpose of Rules 2200 through 2293 is to establish specific safety rules and requirements designed to enhance equine and Rider safety in horseracing.

(b) Violation of, or failure to comply with, the requirements of Rules 2200 through 2293 may result in disciplinary action by racing officials and the Authority.

Purpose: Rule 2210 sets forth the underlying intent of the Rule 2200 Series to secure the safety and well-being of equine and human racing participants. The rule makes clear that violations of the Rule 2200 Series may result in disciplinary action.

STEWARDS' HANDBOOK

TITLE	Welfare and Deprivation of Care
REG. REFERENCE #	2215
VERSION NUMBER	1.1

2215. Welfare and Deprivation of Care

(a) No Covered Person acting alone or in concert with another person shall compromise the welfare of a Covered Horse for competitive or commercial reasons or subject or permit any Covered Horse under their control, custody or supervision to be subjected to or to incur the following:

- (1) any form of cruelty, mistreatment, neglect, or abuse;
- (2) abandonment, injury, maiming, or killing (except for euthanasia for humane reasons and in a manner consistent with the current version of the American Veterinary Medical Association Guidelines for the Euthanasia of Animals);
- (3) administration of any noxious substance; or
- (4) deprivation of necessary care, sustenance, shelter, or veterinary care.

Purpose: Rule 2215 establishes a prohibition against abusive practices, neglect, and mistreatment of Covered Horses that are not otherwise covered by the rules. The rule is vitally necessary to protect the safety and well-being of racehorses. Rule 2215 incorporates existing industry principles and standards as codified in the National Thoroughbred Racing Association Safety and Integrity Alliance Code of Standards and the Association of Racing Commissioners International Model Rules.

Considerations:

Welfare or husbandry concerns may be reported anonymously to:

Anonymous Reporting Platforms

Telephone Line: [\(888\) 714-HIWU](tel:888714HIWU)

Text Line: [\(855\) 901-TIPS](tel:855901TIPS)

Email Address: hiwutips@hiwu.realresponse.com

- The Safety Director is charged with establishing “a formal protocol by which health, safety, and welfare issues are reported, investigated, and resolved by the Racetrack. The protocol shall address coordination between racetrack management, Veterinarians, safety stewards, and Stewards, so that all persons involved have a clear understanding of their roles and further action may be taken where appropriate.” (Rule 2131(c)(4))

HISA will assist with the initial creation of these protocols, and will provide a Case Manager as an additional resource on an as-needed basis.

STEWARDS' HANDBOOK

TITLE	Veterinarians' List
REG. REFERENCE #	2240
VERSION NUMBER	1.1

2240. Veterinarians' List

(a) A Veterinarians' List shall be maintained by the Authority of Covered Horses that are determined to be ineligible to compete in a Covered Horserace in any jurisdiction until released by a Regulatory Veterinarian registered with the Authority.

(b) Covered Horses shall be placed on the Veterinarians' List until removed in accordance with Rules 2241 and 2242:

(1) the following Covered Horses shall be placed on the Veterinarians' List by a Regulatory Veterinarian:

(i) Covered Horses affected by illness, physical distress, medical compromise, unsoundness, injury, Epistaxis, infirmity, heat exhaustion, or deemed unfit to race.

(2) Covered Horses placed on the Veterinarians' List for unsoundness, injury, or Epistaxis are prohibited from participating in a Workout for 7 days.

(3) The following Covered Horses shall be placed on the Veterinarians' List by the Authority:

(i) Covered Horses which have not started in more than 365 days;

(ii) unraced Covered Horses which have not made a start prior to January 1 of their 4-year-old year;

(iii) Covered Horses which have been administered Shock Wave Therapy;

(iv) Covered Horses which have been administered an intra-articular injection;

(v) Covered Horses which have been administered clenbuterol;

(vi) Covered Horses designated by the Agency; and

(vii) Covered Horses currently on a Veterinarian's List in any state, if trying to enter in a Covered Horserace.

(c) The Responsible Person and the Designated Owner (as defined in Rule 1020) shall be notified in writing within 24 hours that their Covered Horse has been placed on the Veterinarians' List.

(d) Diagnostic testing may be required for any Covered Horse placed on the Veterinarians' List, at the discretion of the Regulatory Veterinarian or Association Veterinarian.

Purpose: Rule 2240 establishes the Veterinarians' List, which is a list of Covered Horses that have been determined by the Regulatory Veterinarian to have compromising health conditions. The rule also directs the Authority to place on the Veterinarians' List certain categories of horses, include those who have been administered Shock Wave Therapy, intra-articular injections, and clenbuterol. The rule prohibits these horses from racing until they have been released from the Veterinarian's List as outlined in Rules 2241 and 2242. Covered Horses that participate in a race while medically or physically compromised are at risk for exacerbating the illness or physical injury. The horses are also at risk of having a career-ending or catastrophic injury, with corresponding risks to the jockey as well. The rule allows horses the time necessary for recovery, rehabilitation, and a return to racing in a healthy state.

Considerations:

Horses placed on the Vet's List for unsoundness, injury, or epistaxis are prohibited from participating in a workout for seven days. Suspected violations should be referred to the Regulatory Veterinarian at the track.

STEWARDS' HANDBOOK

TITLE	Duration of Stay on the Veterinarians' List
REG. REFERENCE #	2241
VERSION NUMBER	1.1

2241. Duration of Stay on the Veterinarians' List

(a) Covered Horses placed on the Veterinarians' List in accordance with Rule 2240 shall remain on the Veterinarians' List as follows:

- (1) Covered Horses placed on the Veterinarians' List for unsoundness shall remain on the list for a minimum of 14 days;
- (2) Covered Horses placed on the Veterinarians' List two or more times for unsoundness within the previous 365 days shall remain on the Veterinarians' List for a minimum of 45 days for the second time, a minimum of 75 days for the third time, and shall be permanently barred for life from further participation in Covered Horseraces for the fourth time;
- (3) Covered Horses placed on the Veterinarians' List for Epistaxis shall remain on the list for a minimum of 14 days;
- (4) Covered Horses placed on the Veterinarians' List two or more times for Epistaxis within the previous 365 days shall remain on the Veterinarians' List for a minimum of 30 days for the second time, for a minimum of 180 days for the third time, and shall be permanently barred for life from further participation in Covered Horseraces for the fourth time;
- (5) Covered Horses placed on the Veterinarians' List for illness, physical distress, medical compromise, injury, infirmity, or heat exhaustion shall remain on the list for a minimum of 7 days;
- (6) Covered Horses treated with Shock Wave Therapy shall be placed on the Veterinarians' List for 30 days and are prohibited from participating in a Workout for 14 days;
- (7) Except as set forth in Rule 2271(a)(11) and Rule 2271(a)(12), Covered Horses administered any intra-articular injection(s) shall be placed on the Veterinarians' List for 14 days and are prohibited from participating in a Workout for 7 days;
- (8) Covered Horses administered clenbuterol shall be placed on the Veterinarians' List until they have undergone a release protocol approved by the Agency; and
- (9) if before, during, or after the workout for removal from the Veterinarians' List, the Covered Horse is deemed to be unsound or to have Epistaxis, the stay on the Veterinarians' List shall be extended an additional 30 days, and further

diagnostic testing may be required as determined by the Regulatory Veterinarian.

Purpose: *Rule 2241 specifies the periods of time for which horses must remain on the Veterinarian's List for various health condition and treatments. The rule operates to prevent an affected horse from racing (and in some instances, from performing workouts) until the specified time periods have elapsed or the horse has been released by the Regulatory Veterinarian. The rule is necessary to allow horses the time necessary to recover to sound condition prior to a return to racing. The rule thereby enhances the safety and well-being of horses.*

Considerations:

The rule is intended to introduce uniform Veterinarians' List procedures, including uniform stand-down times for Veterinarians' List categories whose only requirement for release by the Regulatory Veterinarian is time served. Veterinarians' List Rule 2240 states that horses are ineligible to *compete* while on the list. Horses on the Veterinarians' List for intra-articular injections or Shock Wave treatment may be entered while appearing on the List, *provided that the horse's scheduled race date is on or after the Veterinarians' List off date.* (Whether that horse is least preferred is up to the individual jurisdiction.) Horses in all other vets' list categories cannot be entered until they have satisfied the requirements in rule 2242 and been released by a Regulatory Veterinarian. The Regulatory Veterinarian's act of entering an off date constitutes release by the Regulatory Veterinarian.

STEWARDS' HANDBOOK

TITLE	Removal of Horses From the Veterinarians' List
REG. REFERENCE #	2242
VERSION NUMBER	1.1

2242. Removal of Horses From the Veterinarians' List

(a) Regulatory Veterinarians may remove Covered Horses from the Veterinarians' List in accordance with Rule 2242 and shall document such removal to the Authority.

(b) A Covered Horse placed on the Veterinarians' List which has not started in more than 365 days or has not made a start prior to January 1 of its 4-year-old year, or has been placed on the Veterinarians' List as unsound or as having experienced Epistaxis may be removed from the Veterinarians' List upon satisfaction of paragraphs (1) through (7) below.

(1) the Trainer and Attending Veterinarian must observe the Covered Horse jog and submit to the Regulatory Veterinarian a co-signed statement that the Covered Horse is fit to perform a Workout. If the Covered Horse does not perform the Workout for the Regulatory Veterinarian within 7 days, the Trainer and Attending Veterinarian must observe the Covered Horse again at the jog and submit a new co-signed statement.

(2) any diagnostics required by the Regulatory Veterinarian who placed the Covered Horse on the Veterinarians' List must be produced by the Responsible Person, and any associated diagnostic criteria required by the Regulatory Veterinarian must be satisfied, prior to requesting permission to work the Covered Horse for removal.

(3) the Trainer must then apply no less than 48 hours in advance of the Workout to the Regulatory Veterinarian for permission to work the Covered Horse for removal from the Veterinarians' List.

(4) the Covered Horse must perform a Workout under the supervision of the Regulatory Veterinarian and demonstrate to the satisfaction of the Regulatory Veterinarian that the Covered Horse is sound to race.

(5) the Regulatory Veterinarian must determine, no earlier than 30 minutes or later than 2 hours after the Workout conducted pursuant to paragraph (b)(4) above, that there is no evidence or sign of Epistaxis, physical distress, medical compromise, or unsoundness.

(6) a blood sample shall be collected from the Covered Horse following the Workout, and in accordance with Rule 3132(e), is subject to all of the same requirements that apply to Sample collection at Covered Horseraces.

(7) the Regulatory Veterinarian shall communicate the determination made in paragraph (b)(5) above and the results of the testing conducted pursuant to

paragraph (b)(6) above to the Regulatory Veterinarian who placed the Covered Horse on the list, or in that Regulatory Veterinarian's absence, with a Regulatory Veterinarian from the same Racetrack, who then may release the Covered Horse from the Veterinarians' List.

(c) A Covered Horse which has not started in more than 365 days or has not made a start prior to January 1 of its 4-year-old year may perform a Workout in the presence of the Regulatory Veterinarian beginning 335 days since its last start or, if unraced, December 1st of its 3-year-old year. If the Covered Horse has not started within 60 days of being released by the Regulatory Veterinarian, the Covered Horse must fulfill the requirements in 2242(b) again.

(d) A Covered Horse placed on the Veterinarians' List for illness, physical distress, medical compromise, injury, infirmity, or heat exhaustion may be removed from the Veterinarians' List after expiration of the applicable minimum duration set forth in Rule 2241 and sound health has been declared by the Attending Veterinarian and the Regulatory Veterinarian and documented to the Authority.

Purpose: *Rule 2242 outlines the procedures by which horses may be determined to be recovered from the specified health conditions that led to their placement on the Veterinarian's List. The rule ensures that horses are thoroughly evaluated by an Attending Veterinarian and Regulatory Veterinarian prior to release from the Veterinarian's List. This is a vital process to ensure the safety and well-being of racehorses.*

Considerations:

- Horses subject to the requirements in Rule 2242 are not permitted to **enter** until released from the Veterinarians' List by a Regulatory Veterinarian.
- The Regulatory Veterinarian's act of entering an off date constitutes release by the Regulatory Veterinarian.
- A post-work inspection will be conducted by the Regulatory Veterinarian. Blood samples are REQUIRED for horses working off the Vets List. Horses working for removal from the Vets List must now be tested under HIWU protocols in order to be removed from the HISA Veterinarians' List. Horses working and testing in states not utilizing HIWU testing labs may not be removed from the HISA Veterinarians' List, even if permitted to race in those states.

STEWARDS' HANDBOOK

TITLE	Veterinary Reports
REG. REFERENCE #	2251
VERSION NUMBER	1.1

2251. Veterinary Reports

(a) All Veterinarians shall provide treatment records pursuant to Rule Series 3000. In addition to the uses set forth therein, these records may be used by Regulatory Veterinarians in the performance of their duties at the Racetrack, for transfer to the new Responsible Person of a Covered Horse, and for purposes of research conducted by the Authority in accordance with the Act to enhance the safety and welfare of racehorses. Subject to the approval of the Authority, records may also be accessed by the State Racing Commission or the Stewards.

(b) For treatments, procedures, and surgeries performed at a location licensed by a State Racing Commission or a Training Facility, and in addition to the information required to be submitted by Veterinarians pursuant to Rule Series 3000, every Veterinarian who examines or treats a Covered Horse shall, within 24 hours after such examination or treatment, submit to the Authority the following information in an electronic format designated by the Authority:

- (1) name and HISA ID of the Covered Horse or, if unnamed, the registered name of the dam and year of foaling;
- (2) name and HISA ID of the Responsible Person of the Covered Horse;
- (3) name and HISA ID of the Veterinarian;
- (4) contact information for the Veterinarian (phone number, email address);
- (5) any information concerning the presence of unsoundness and responses to diagnostic tests;
- (6) diagnosis;
- (7) condition treated;
- (8) the name of any medication, drug, substance, or procedure administered or prescribed, including date and time of administration, dose, route of administration (including structure treated if local administration), frequency, and duration (where applicable) of treatment;
- (9) any non-surgical procedure performed (including but not limited to diagnostic tests, imaging, and shockwave treatment) including the structures examined/treated and the date and time of the procedure;
- (10) any surgical procedure performed including the date and time of the procedure; and

(11) any other information necessary to maintain and improve the health and welfare of the Covered Horse.

(c) For treatments, procedures, and surgeries performed at a location that is not a Training Facility or is not licensed by a State Racing Commission, and in addition to the information required to be submitted by Veterinarians pursuant to Rule Series 3000, every Veterinarian who examines or treats a Covered Horse shall, within 24 hours of ambulatory care, outpatient care, or discharge from a clinic or hospital, submit to the Authority the following information in an electronic format designated by the Authority:

- (1) name and HISA ID of the Covered Horse or, if unnamed, the registered name of the dam and year of foaling;
- (2) name and HISA ID of the Responsible Person for the Covered Horse;
- (3) name and HISA ID of the Veterinarian;
- (4) contact information for the Veterinarian (phone number, email address);
- (5) any information concerning the presence of unsoundness;
- (6) summary of all diagnostic tests and test results;
- (7) any intra-articular diagnostic and therapeutic medications administered or prescribed, including the date and time of the treatment;
- (8) administration of Shock Wave Therapy, including the date and time of the Shock Wave Therapy; and
- (9) any surgical procedure performed including the date and time of the procedure.

Purpose: Rule 2251 sets forth the reporting requirements imposed upon Veterinarians who examine or treat Covered Horses. The rule specifies in detail the information that must be provided to the Authority within 24 hours of examination or treatment, pursuant to requirements set forth in the Rule 3000 Series (the Equine Anti-Doping and Medication Control Protocol).

Detailed information concerning medication, treatments, surgical procedures, and offtrack exercise/rehabilitation history data is necessary to correlate these variables with risk for injury and illness. Collection and correlation of this information with data on injuries and illnesses enhances equine welfare by allowing the development of strategies for injury and illness prevention. Jockey welfare and safety is also enhanced by a decrease in the incidence of horse breakdowns due to injury and associated jockey injuries.

Racehorse treatment history obtained from Attending Veterinarians and Responsible Persons is important because scientific research indicates that intra-articular corticosteroids, non-steroidal anti-inflammatory drugs, exercise history, and return from lay-up (i.e., rest from racing and training) may increase the risk for career-ending or catastrophic

musculoskeletal injury. The information will be stored in the Authority's database and used for research into these associations.

Considerations:

Attending Veterinarians have the option of using the HISA portal or one of multiple third-party software programs to enter treatment records electronically. Records will be attached to the Covered Horse and available to the Authority, the Responsible Person, the Designated Owner, and the Regulatory Veterinarian(s) in the relevant jurisdiction.

STEWARDS' HANDBOOK

TITLE	Responsible Persons' Records
REG. REFERENCE #	2252
VERSION NUMBER	1.1

2252. Responsible Persons' Records

(a) In addition to the information required to be submitted by Responsible Persons under Rule Series 3000, a Responsible Person is responsible for maintaining a record of medical, therapeutic, and surgical treatments and procedures for every Covered Horse in the Responsible Person's control.

(b) For purposes of this Rule, the term treatment:

(1) means the administration of any medication or substance containing a medication to a Covered Horse by a Responsible Person or the Responsible Person's designee;

(2) includes the administration of medications that are prescribed by a Veterinarian but administered by the Responsible Person or the Responsible Person's designee; and

(3) notwithstanding Rule 3040(b)(8), specifically excludes medications or procedures directly administered by a Veterinarian or that Veterinarian's employees.

(c) Records must include the information outlined in paragraphs (1) and (2) below.

(1) For medical treatments:

(i) name and HISA ID of the Covered Horse or, if unnamed, the registered name of the dam and year of foaling;

(ii) name and HISA ID of the Responsible Person;

(iii) generic name of the drug, or brand name if a non-generic drug is used;

(iv) name and HISA ID of the prescribing Veterinarian;

(v) date of the treatment;

(vi) route of administration;

(vii) dosage administered;

(viii) approximate time (to the nearest hour) of each treatment; and

(ix) full name and contact information of the individual who administered the treatment.

(2) For medical procedures, including, but not limited to, Shock Wave Therapy, physiotherapy, acupuncture, chiropractic, and surgeries:

- (i) name and HISA ID of the Covered Horse, or, if unnamed, the registered name of the dam and year of foaling;
- (ii) name and HISA ID of the Responsible Person;
- (iii) diagnosis and condition being treated;
- (iv) name of procedure or surgery;
- (v) date of the procedure;
- (vi) full name and contact information of the individual who administered or performed the procedure; and
- (vii) any other information necessary to maintain and improve the health and welfare of the Covered Horse.

(d) In addition to the uses of records set forth in the Rule Series 3000, records may be used by the Regulatory Veterinarians in the performance of their duties at the Racetrack, for transfer of medical records to the new Responsible Person of a Covered Horse, and for purposes of research conducted by the Authority in accordance with the Act to enhance the safety and welfare of racehorses. Subject to the approval of the Authority, records may also be accessed by the State Racing Commission or the Stewards.

(e) Nothing set forth in the rules of the Authority shall limit the Authority's access to, or use of, records submitted under any provision in the Rule 2000 Series.

Purpose: *Rule 2252 imposes upon Responsible Persons the requirement to maintain specified categories of records of medical, therapeutic, and surgical treatments and procedures for every Covered Horse under their control. The rule specifies in part in Rules 2252(b) and (c) that the term treatment "includes the administration of medications that are prescribed by a Veterinarian but administered by the Responsible Person or the Responsible Person's designee . . . and specifically excludes medications or procedures directly administered by a Veterinarian or the Veterinarian's employees." Requiring records to be maintained enables more effective medical treatment to be provided to horses based on past medical history information that is accessible to the Authority as needed.*

Considerations:

Note that while veterinarians must submit their treatment records to the Authority in electronic format, the requirement for trainers is to maintain medical, therapeutic, and surgical administrations and procedures records and produce them upon request or when a horse is claimed.

STEWARDS' HANDBOOK

TITLE	Records for Horses Shipping to the Racetrack
REG. REFERENCE #	2253
VERSION NUMBER	1.1

2253. Records for Horses Shipping to the Racetrack

(a) If a Covered Horse is not stabled at a facility under the Authority's jurisdiction for the full 30 days prior to a Race or Workout for purposes of removal from the Veterinarians' List, the Responsible Person shall obtain and maintain the following information:

- (1) name and HISA ID of the Covered Horse or, if unnamed, the registered name of the dam and year of foaling;
- (2) generic name of the drug, or brand name of the drug if a non-generic drug is used;
- (3) date and duration of the treatment;
- (4) route of administration;
- (5) dosage administered;
- (6) surgical procedures;
- (7) non-surgical therapies and procedures;
- (8) daily log of exercise activities at the facility;
- (9) daily log of treatments and procedures at the facility; and
- (10) any other information necessary to maintain and improve the health and welfare of the Covered Horse.

(b) In addition to the uses of records set forth in the Rules Series 3000, records may be used by the Regulatory Veterinarians in the performance of their duties at the Racetrack, for transfer of medical records to the new Responsible Person of a Covered Horse, and for purposes of research conducted by the Authority in accordance with the Act to enhance the safety and welfare of racehorses. Subject to the approval of the Authority, records may also be accessed by the State Racing Commission or the Stewards.

Purpose: Rule 2253 specifies that if horses are not stabled at a facility under the Authority's jurisdiction for the full 30 days prior to a Race or Workout for purposes of removal from the Veterinarians' List, the Responsible Person shall obtain and maintain medical treatment information as described in detail in the rule. Note that the rule requires the Responsible Person to obtain and maintain the information set out in the Rule, but there is no requirement that the information be submitted to the Authority. The Authority may request the information at any time, however.

Considerations:

- Note that while veterinarians must submit their treatment records to the Authority in electronic format, the requirement for trainers is to maintain medical, therapeutic, and surgical administrations and procedures records and produce them upon request or when a horse is claimed.
- If a horse ships to a racetrack out of the country for a race and ships back in, this rule would apply to that period.

STEWARDS' HANDBOOK

TITLE	Transfer of Claimed Horse Records
REG. REFERENCE #	2261
VERSION NUMBER	1.1

2261. Transfer of Claimed Horse Records

(a) Entry of a Covered Horse subject to being claimed in a Claiming Race implies consent of the Responsible Person to the transfer of the following records to the new Responsible Person of the claimed Covered Horse:

- (1) all medical records required to be maintained pursuant to Rules 2252 and 2253; and
- (2) all veterinary records required to be submitted pursuant to Rule 2251.

(b) If a Covered Horse is successfully claimed by a new Responsible Person, the previous Responsible Person must transfer the Covered Horse's medical records required to be maintained pursuant to Rule 2252 and Rule 2253 to the new Responsible Person within 3 calendar days of transfer of the claimed Covered Horse to the new Responsible Person.

Purpose: *In the case of a successful claim, Rule 2261 requires the previous Responsible Person to transfer treatment records to the new Responsible Person within 3 calendar days of the transfer of the claimed horse. Transfer of medical history to the new Responsible Person enables that person to manage the horse appropriately and ensures continuity of care.*

STEWARDS' HANDBOOK

TITLE	Void Claim
REG. REFERENCE #	2262
VERSION NUMBER	1.1

2262. Void Claim

(a) Except as provided in paragraphs (e) and (g), title to a Covered Horse which is claimed shall be vested in the successful claimant from the time the field has been dispatched from the starting gate and the Covered Horse becomes a starter.

(b) All claimed Covered Horses shall go to the Test Barn, or, if approved by the Authority, the secured area used for claimed Covered Horse inspections, for observation by the Regulatory Veterinarian.

(c) Test Barn or approved secured area observation:

(1) upon entry into the Test Barn or approved secured area, a claimed Covered Horse shall be periodically observed for no less than 30 minutes during the "cooling out" process, unless excused by the Regulatory Veterinarian.

(2) a claimed Covered Horse shall be observed by the Regulatory Veterinarian at the completion of any required sample collection, or immediately before the Covered Horse is released from the Test Barn or approved secured area, to determine whether the claimed Covered Horse will be placed on the Veterinarians' List for Epistaxis, or as unsound or lame.

(3) the minimum criteria for observation by the Regulatory Veterinarian are:

(i) to assess the claimed Covered Horse for signs of Epistaxis or any other concerning clinical abnormalities; and

(ii) to jog the claimed Covered Horse in hand in a straight line of not fewer than 5 strides moving toward and away from the Regulatory Veterinarian.

(d) If a claimed Covered Horse is placed on the Veterinarians' List for Epistaxis, or as unsound or lame, it is the responsibility of the Regulatory Veterinarian to notify the Stewards immediately so that the Stewards may order the Claim voided.

(e) The Claim shall be voided, and ownership of the Covered Horse retained by the original Owner, if:

(1) the Covered Horse dies or is euthanized before the Covered Horse is released to the claimant;

(2) the Covered Horse is vanned off of the racing track and placed on the Veterinarians' List for Epistaxis, or as unsound or lame; or

(3) the Regulatory Veterinarian determines pursuant to the observation described in Rule 2262(c)(1) that the Covered Horse will be placed on the Veterinarians' List for Epistaxis, or as unsound or lame before the Covered Horse is released to the successful claimant.

(f) The Claim shall not be voided if, prior to the Race in which the Covered Horse is claimed, the claimant elects to claim the Covered Horse by checking the appropriate box on the claim slip regardless of whether the Regulatory Veterinarian determines the Covered Horse will be placed on the Veterinarians' List for Epistaxis or as unsound or lame.

(g) Notwithstanding Rule 3060(a) and 3070(c), and subject to Rule 2262(h), if a post-race sample collected from a claimed Covered Horse on the day of the Claim results in an Adverse Analytical Finding, the claimant shall be promptly notified by the Agency or the Authority and the claimant shall have the option to void the claim. The claimant shall have 48 hours from notification of the Adverse Analytical Finding to void the claim by submitting in writing to the Stewards the claimant's decision to void the claim.

If the claimant chooses to void the Claim:

(1) the claimant shall be entitled to the return from the prior Owner of all sums paid for the claimed Covered Horse;

(2) the claimant shall be entitled, upon submission of expense records, to recoup reasonable expenses from the prior Owner related to the care, custody and control of the Covered Horse incurred after the date of the claim; and

(3) the claimed Covered Horse shall be returned to the prior Owner.

(h) A claimant shall not have the option to void a Claim pursuant to Rule 2262(g) if any of the following events have occurred since the Claim:

(1) the claimed Covered Horse has made a start in a Covered Horserace or race;

(2) the claimant failed to exercise due care in maintaining and boarding the claimed Covered Horse;

(3) the claimant made material alterations to the claimed Covered Horse; or

(4) the claimed Covered Horse dies or is euthanized.

Purpose: *Rule 2262 establishes a detailed and enhanced void claim rule that protects covered horses from being raced when they are not physically or medically fit to do so. Jockeys and horses benefit from the rule because injured or compromised horses in races are more likely to suffer a catastrophic injury. The rule is intended to prevent some catastrophic or career ending injuries from occurring. The rule is believed to contribute to the decline in catastrophic injuries in those racing jurisdictions that implemented a similar rule.*

The rule protects the purchaser of the horse from acquiring an injured, compromised, or dead horse. It also discourages trainers and owners from entering an injured or compromised horse into a race with the intent to pass responsibility for the horse to another trainer or owner who claims the horse in the race.

Void claim rules previously in effect in the various racing jurisdictions were not previously uniform, and Rule 2262 standardizes the void claim rules across all jurisdictions.

Considerations:

- Race office claim slips will need to utilize a new check box to effectuate 2262(f)
- All team members should remember that the health and safety of an injured, unsound, or distressed horse is always the first priority.
- Any parties harassing, intimidating, or otherwise attempting to influence the Regulatory Veterinarian's assessment should be reported to the Stewards for appropriate follow-up.
- Note that only vet's list determinations of unsoundness or epistaxis trigger a void claim. Horses placed on the vet's list for other categories DO NOT trigger a void claim.
- Once the horse has been released by the regulatory vet, the decision is final.
- A notification phone tree should be established to ensure all need-to-know parties are informed of a void claim in a timely fashion. This list includes, at a minimum, the trainer of record, the stewards, the claiming trainer, the racing office/claims clerk, Horse ID, Equibase, and the horsemen's bookkeeper.
- With regard to voiding a claim for an adverse analytical finding, the option to void the claim is triggered by the notice of the finding and not the final ruling.
- Covered Persons who claim a horse may complete and submit the "Void Claim Test Result Inquiry Form" located on HISA's website to determine the status of the testing results of any post-claiming race sample collection.
- In the event of an adverse analytical finding, HIWU will send a notice of the adverse analytical finding to the original owner and trainer and to the claimant owner and trainer. The claimant has 48 hours (calculated in business days) to void the claim from the moment of receipt of the notice. The claimant will be instructed to contact HISA or the Stewards at the track where the horse was claimed and inform them of the claimant's choice to void the claim. If the claimant chooses to void the claim, the claimant is entitled to a return of the claim money as well as any documented expenses related to the care and training of the horse since the date of the claim. If the claim is voided, HISA will contact the stewards to request that the stewards notify the parties involved to begin the transfer of the horse back to the original trainer's barn.
- HISA will instruct the claimant to prepare and send to HISA and the stewards an itemized bill outlining all reasonable expenses related to the care, custody, and control of the claimed horse incurred after the date of the claim. The stewards will facilitate the recovery of these costs from the prior owner and the resolution of any disagreements concerning reasonable costs.

- The stewards will ensure that the horseman's bookkeeper and Equibase are notified of the void claim.
- The stewards will issue a written ruling concerning the voiding of the claim.
- Per Rule 3060(a) in the Equine Anti-Doping and Controlled Medication Protocol, a claimed horse may be subject to Sample collection at a Claiming Race if requested (and paid for) by the claimant as part of the claiming procedure on the day of the Claim.

STEWARDS' HANDBOOK

TITLE	Waiver Claiming Option
REG. REFERENCE #	2263
VERSION NUMBER	1.1

2263. Waiver Claiming Option

(a) At time of entry into a Claiming Race an Owner or Responsible Person may opt to declare a Covered Horse ineligible to be claimed, provided:

- (1) the Covered Horse has not started in 120 days;
- (2) the Covered Horse's last start must have been for a claiming price; and
- (3) the Covered Horse is entered in a claiming race with a claiming price equal to or greater than the claiming price for which it last started.

(b) A Responsible Person may opt to declare a Covered Horse ineligible to be claimed for a second consecutive race, provided:

- (1) the waiver must have been asserted in the first race back to be eligible for the second waiver;
- (2) if the Covered Horse wins the first race back, it is ineligible for the second waiver;
- (3) if the Covered Horse changes majority ownership subsequent to the first race, it is ineligible for the second waiver; and
- (4) the provisions in 2263(a)(3) still apply.

Purpose: Rule 2263 allows a horse trainer or owner who has invested the time and effort to rehabilitate a horse, and who then wishes the horse to participate in racing, to start the horse in up to two consecutive claiming races without the risk of the horse being claimed by another trainer or owner, provided certain conditions are met. The rule thus incentivizes trainers and owners to rehabilitate horses to enhance their long-term health and to facilitate an extended racing career.

Considerations:

Appropriate language should be incorporated into condition books.

STEWARDS' HANDBOOK

TITLE	Prohibited Practices
REG. REFERENCE #	2271
VERSION NUMBER	1.1

2271. Prohibited Practices

(a) The following are prohibited practices:

- (1) use of physical or veterinary procedures to mask the effects or signs of injury so as to allow training or racing to the detriment of the Covered Horse's health and welfare.
- (2) use of Shock Wave Therapy in a manner that may desensitize any limb structures during racing or training.
- (3) surgical or chemical neurectomy to cause desensitization of musculoskeletal structures associated with the limbs. Horses within the foal crop of 2023 or later shall not be allowed to participate in a Covered Horserace or a Timed and Reported Workout if they have been subject to the procedure(s) described in this Rule 2271(a)(3).
- (4) pin-firing and freeze-firing of the shins (dorsal surface of the third metacarpal/metatarsal bones) are prohibited. Horses within the foal crop of 2023 or later shall not be allowed to participate in a Covered Horserace or a Timed and Reported Workout if their shins have been pin-fired or freeze-fired.
- (5) pin-firing of any structure. Horses within the foal crop of 2023 or later shall not be allowed to participate in a Covered Horserace or a Timed and Reported Workout if any structure on their body has been pin-fired.
- (6) application of any substance to cause vesiculation, blistering, or any physical disruption of the epidermis or surface of the skin.
- (7) injection of any substance to cause inflammation or a counter-irritant effect.
- (8) the use of a device to deliver an electrical shock to the Covered Horse including but not limited to cattle prods and batteries.
- (9) the use of any medical therapeutic device requiring an external power source within 48 hours prior to the start of the published post time for which a Covered Horse is scheduled to race. This includes but is not limited to pulsed electromagnetic field (PEMF), laser, nebulizer, electro-magnetic blankets, and boots.
- (10) the use of acupuncture within 48 hours prior to the start of the published post time for which a Covered Horse is scheduled to race.

(11) notwithstanding Rule 4222, and except as set forth in Rule 2271(a)(12), any Covered Horse treated with any intra-articular injection of any joint shall not be permitted to perform a Workout for 7 days following treatment or participate in a Covered Horserace for 14 days following treatment.

(12) notwithstanding Rule 2271(a)(11) and Rule 4222, any Covered Horse treated with any corticosteroid intra-articular injection of the metacarpophalangeal or metatarsophalangeal joint shall not be permitted to perform a Workout for 14 days following treatment or participate in a Covered Horserace for 30 days following treatment.

(b) The Responsible Person of any Covered Horse that violates the prohibitions established in Rule 2271(a)(11) or Rule 2271(a)(12) shall be subject to the following penalty schedule:

(1) first violation (within a 365-day period): \$3,000 fine.

(2) second violation (within a 365-day period): \$6,000 fine, 10-day suspension from participating in any Timed and Reported Workout or Covered Horserace.

(3) third violation (within a 365-day period): \$10,000 fine, 30-day suspension from participating in any Timed and Reported Workout or Covered Horserace.

(4) fourth violation (within a 365-day period): \$20,000 fine, 60-day suspension from participating in any Timed and Reported Workout or Covered Horserace.

(5) fifth and subsequent violations (within a 365-day period): \$25,000 fine, 120-day suspension from participating in any Timed and Reported Workout or Covered Horserace.

(c) If the Covered Horse is the subject of 2 or more violations of the prohibitions established in Rule 2271(a)(11) or Rule 2271(a)(12) within a 365-day period, the Covered Horse may be placed on the Veterinarians' List for 30 days.

Purpose: *Rule 2271 is intended to safeguard racehorses by prohibiting the use of various instrumentalities and procedures that mask pain. The masking of pain allows horses to train and race while injured and to perform beyond their athletic potential, because they are desensitized to pain that would ordinarily cause them to slow their pace or come to a halt. Horses that run while desensitized to pain are at risk of catastrophic injury, and the jockeys are at risk of serious injury as well.*

STEWARDS' HANDBOOK

TITLE	Shock Wave Therapy
REG. REFERENCE #	2272
VERSION NUMBER	1.1

2272. Shock Wave Therapy

(a) The use of Shock Wave Therapy shall be limited to licensed Veterinarians and, in addition to the reporting required under Rule 2251, must be reported by the Responsible Person to the Regulatory Veterinarian within 48 hours after treatment.

(b) Shock Wave Therapy treatment administered to a Covered Horse may only be performed using a machine that is registered with the Authority.

(c) Any Covered Horse treated with Shock Wave Therapy shall be placed on the Veterinarians' List and shall not be permitted to Race for 30 days following treatment or perform a Workout for 14 days following treatment.

(d) Failure to report Shock Wave Therapy in accordance with Rule 2251 shall subject the Veterinarian to a suspension of the Veterinarian's registration for a period not to exceed 1 year and a fine not to exceed \$10,000.

(e) Failure to report Shock Wave Therapy in accordance with Rule 2272(a) shall subject the Responsible Person to a suspension of the Responsible Person's registration for a period not to exceed 1 year and a fine not to exceed \$10,000.

(f) The Stewards shall adjudicate all alleged violations of this Rule 2272. For purposes of determining the period of suspension and the amount of the fine to be imposed under Rule 2272(d) and Rule 2272(e), the Stewards shall consider all mitigating and aggravating factors presented by the Veterinarian or Responsible Person, including the severity of the underlying circumstances or conduct giving rise to the violation. Examples of aggravating factors shall include, but are not limited to, a Covered Horse that was removed from Racetrack grounds with the intent to evade the reporting requirements under this Rule 2272; and multiple violations of this Rule 2272 within a 365-day period.

Purpose: Rule 2272 regulates the use and monitoring of a specific treatment (Shock Wave therapy) as used on bone, tendon, and ligament injuries. Shock Wave therapy can also provide pain relief that allows affected horses to continue to train and race on a mild injury. Continued training and racing can precipitate a career-ending or catastrophic injury. The rule addresses the problem by closely monitoring treatments and requiring treated horses to refrain from training at high speed or racing to provide an appropriate time for rehabilitation of the injury treated. The rule enhances the safety of racehorses by reducing the incidence of career-ending and catastrophic injuries. Because jockey injuries are associated with catastrophic injuries during highspeed training and racing, the rule also enhances jockey safety and welfare.

Considerations:

- Shock Wave Therapy may only be performed on Covered Horses by licensed veterinarians registered with HISA and using machines registered with HISA.
- A Regulatory Veterinarian must be notified that Shock Wave Therapy has been performed within 48 hours of treatment, regardless of where the treatment has taken place. This is to ensure the horse is placed on the Veterinarian's List and made ineligible to breeze for 14 days or race for 30 days.
- Racetracks may continue to impose pre-notification procedures to allow for regulatory oversight.

STEWARDS' HANDBOOK

TITLE	Other Devices, Penalties
REG. REFERENCE #	2273, 2274
VERSION NUMBER	1.1

2273. Other Devices

No electrical, mechanical, or other device, which is purchased, designed, or used with the intent to increase or retard the speed of a Covered Horse, other than a riding crop, shall be possessed by anyone, or applied by anyone, to a Covered Horse at any time on Racetrack grounds.

Purpose: Rule 2273 prohibits the possession of any device which is purchased, designed, or used with the intent to increase or retard the speed of a Covered Horse, with the exception of riding crops. Rules similar to Rule 2273 have been in place in all US racing jurisdictions, but the penalty for noncompliance is not standard across jurisdictions and varies instead from a 10-year loss of racing license to suspensions and fines. Rule 2273 standardizes the rule and the attendant sanctions nationally. Racing participants are placed on notice that the industry considers the use of performance-affecting devices to be a very serious violation of the principle of fair competition and of the integrity of horse racing.

2274. Other Device Penalties

(a) Penalties for violations of Rule 2273 shall be as follows:

- (1) for a first offense, loss of eligibility for, or revocation of, registration with the Authority for 10 years.
- (2) for any subsequent violation, the penalty shall be a lifetime ban from registration with the Authority.

Purpose: *Rule 2274 establishes the penalties for violation of Rule 2273. The penalties are severe in due proportion to the threat the violation poses to fair competition and the integrity of horseracing.*

STEWARDS' HANDBOOK

TITLE	Communication Devices
REG. REFERENCE #	2275
VERSION NUMBER	1.1

2275. Communication Devices

(a) The use of a hand-held communication device by a Rider is prohibited while the Rider is on a Covered Horse or Pony Horse.

(b) A Rider, while on a Covered Horse or Pony Horse, shall not wear an audio device that obstructs or impairs the Rider's ability to hear other horses, Riders, hazards, or the Racetrack's emergency warning system.

Purpose: Rule 2275 promotes safety by prohibiting the use of hand-held devices by a Rider while mounted on a Covered Horse or Pony Horse. The purpose of the rule is to prohibit the use of hand-held devices that interfere with a rider's control of the horse. The rule also prevents riders from dropping a hand-held device onto the racetrack, where it will pose a safety hazard. The rule further prohibits the use of audio devices that impair the rider's ability to clearly hear activity at the racetrack while mounted.

Considerations:

It is recommended that Outriders keep radios secured while mounted and utilize a shoulder microphone.

STEWARDS' HANDBOOK

TITLE	Horseshoes
REG. REFERENCE #	2276
VERSION NUMBER	1.1

2276. Horseshoes

(a) The following prohibitions apply to the use of horseshoes during training and racing:

(1) on dirt surfaces, Traction Devices (as defined in Rule 2010) other than full rims 2 millimeters or less in height from the ground surface of the horseshoe are prohibited on forelimb horseshoes. Traction Devices other than full rims 4 millimeters or less in height from the ground surface of the horseshoe, or toe grabs 4 millimeters or less in height from the ground surface of the horseshoe, are prohibited on hindlimb horseshoes.

(2) on synthetic surfaces, Traction Devices other than full rims that are 2 millimeters or less in height from the ground surface of the horseshoe are prohibited on forelimb and hindlimb horseshoes.

(3) on turf surfaces, Traction Devices are prohibited on forelimb and hindlimb horseshoes.

Purpose: Rule 2276 limits the height of rims used as traction devices on forelimb and hindlimb horseshoes, and prohibits the use of any other traction devices. Traction devices are believed to increase a horse's ability to "dig in" to the track surface and prevent slipping. Traction devices reduce the horse's ability to plant its hoof properly and move correctly across the surface. The reduction in movement ability contributes to catastrophic breakdowns and skeletal and muscle-related injuries. The rule follows the scientific evidence that associates traction devices with increased equine injuries. The rule is intended to increase the safety of horses and riders by reducing the number of accidents resulting from injuries associated with the use of traction devices. The rule will also standardize traction device use nationwide.

Considerations:

- Any horse scratched for non-compliant shoes must be included in the steward's daily report to the Authority. The suggested practice is that a ruling be issued and a fine assessed for causing the track to lose a betting interest.
- Stewards are encouraged to accompany the farrier on a random basis, either in the morning or in the paddock.
- Auditing shoe compliance during training may be challenging, but at a minimum, any horse inspected by a safety steward or Regulatory Veterinarian pursuant to a training incident or injury should have shoe type recorded.

STEWARDS' HANDBOOK

TITLE	Use of Riding Crop
REG. REFERENCE #	2280
VERSION NUMBER	1.1

2280. Use of Riding Crop

(a) Subject to paragraphs (b) and (c) of this Rule, a Jockey who uses a riding crop on a Covered Horse during a Covered Horserace shall do so only in a professional manner consistent with maintaining focus and concentration of the Covered Horse for safety of Covered Horses and Riders, or for encouragement to achieve optimal performance.

(b) A Jockey may:

(1) use the crop only on the hindquarters or the shoulders to activate and focus the Covered Horse;

(2) use the crop a maximum of 6 times during a race. Use of the crop shall be considered any contact of the crop with the Covered Horse except for a tap to the shoulder of the Covered Horse as permitted by Rule 2280(b)(4);

(3) use the crop in increments of 2 or fewer strikes. A Jockey must allow at least 2 strides for the Covered Horse to respond before using the crop again;

(4) tap the Covered Horse on the shoulder with the crop while both hands are holding on to the reins and both hands are touching the neck of the Covered Horse. A tap to the shoulder of a Covered Horse in accordance with the first sentence of this paragraph (4) shall not count towards the 6 permitted uses of the crop established in Rule 2280(b)(2);

(5) show or wave the crop to the Covered Horse without physically contacting the Covered Horse; and

(6) use the crop to preserve the safety of Covered Horses and Jockeys.

(c) A Jockey shall not:

(1) raise the crop with the Jockey's wrist above the Jockey's helmet when using the crop;

(2) injure the Covered Horse with the crop or leave any physical marks, such as welts, bruises, or lacerations;

(3) use the crop on any part of the Covered Horse's body other than the shoulders or hindquarters;

(4) use the crop during the post parade or after the finish of the race other than to avoid a dangerous situation or preserve the safety of Covered Horses and Riders;

(5) use the crop if the Covered Horse has obtained its maximum placing;

(6) use the crop persistently even though the Covered Horse is showing no response;

(7) use a crop on a 2 year-old Covered Horse in races before April 1 of each year other than to avoid a dangerous situation or preserve the safety of Covered Horses and Riders;

(8) strike another horse or person with the crop; or

(9) strike a Covered Horse with any object other than a riding crop that conforms to the requirements established in Rule 2281.

(d) In any Race in which a Jockey will ride without a crop, that fact shall be declared at entry, included in the official program, and an announcement of that fact shall be made over the public address system.

Purpose: Rule 2280 unifies in a single rule the differing rules that existed previously in various racing jurisdictions. The rule is intended to protect horses from excessive use of the crop. Of particular significance is the fact that the rule specifies that the crop can be used no more than 6 times during a race for encouragement and to maintain the focus and concentration of the horse. The rule permits additional use of the riding crop as necessary to preserve the safety of horses and riders and to avoid dangerous situations. The various provisions in Rule 2280 provide jockeys with a clear understanding of the permitted use of the crop, and the uniformity of the rule enables jockeys to adapt their use of the crop to conform to a single rule in effect across all jurisdictions.

Considerations:

- For violations of 2280(b) (2), see rules 2282 (Riding Crop Violations and Penalties) and 2283 (Multiple Violations).
- For ALL OTHER riding crop violations, stewards may impose any of the sanctions set forth in 8200(b)(2) through (12).
- For violations of 2280(c)(2), the best practice is for the person reporting the incident to take a photograph of any physical marks and submit the photograph to the stewards for documentation.

The hearing and appeal process is outlined in Rules 8320(a) (Adjudication of Violations in the Rule 2200 Series), Rule 2285 (Intermediate Appeal of Violations), and 8350 (Appeal to the Board).

STEWARDS' HANDBOOK

TITLE	Riding Crop Specifications
REG. REFERENCE #	2281
VERSION NUMBER	1.1

2281. Riding Crop Specifications

- (a) Riding crops are subject to inspection by the Safety Officer, Stewards, and the clerk of scales.
- (b) All riding crops must be soft-padded.
- (c) Riding crops shall have a shaft and a flap or smooth foam cylinder and must conform to the following dimensions and construction:
- (1) the maximum allowable weight shall be 8 ounces;
 - (2) the maximum allowable length, shall be 30 inches;
 - (3) the minimum diameter of the shaft shall be three-eighths of one inch;
 - (4) the shaft, beyond the grip, must be smooth with no protrusions or raised surface and covered by shock absorbing materials;
 - (5) there shall be no binding within 7 inches of the end of the shaft;
 - (6) the flap or smooth foam cylinder is the only allowable attachment to the shaft and must meet the following specifications:
 - (i) shall have no reinforcements;
 - (ii) shall have a maximum length beyond the shaft of one inch;
 - (iii) shall have a minimum diameter of 0.8 inches and a maximum width of 1.6 inches;
 - (iv) there shall be no other reinforcements or additions beyond the end of the shaft;
 - (v) shall be made of shock absorbing material with a compression factor of at least 5 millimeters;
 - (vi) shall be made of a waterproof, ultraviolet, and chemical resistant flap or foam material that is durable and preserves its shock absorption in use under all conditions; and
 - (vii) shall be replaced after reasonable wear and tear is visibly evident.
- (d) Riding crops shall not be altered and shall have a mark identifying the name and manufacturer of the crop.

Purpose: *Rule 2281 provides uniformity for crop design across all jurisdictions. The specifications are intended to ensure that crops authorized for use are designed to prevent injury to racehorses.*

Considerations:

Stewards are encouraged to inspect crops randomly, and to be alert to knock-off crops, alterations to crops, and worn or damaged crops.

The following riding crops are permitted for use by jockeys in Covered Horseraces:

- The GT 360 Custom Crop by RydersUp
- The SB 100 by Scott Bethke
- The EZ Strike by Alex Birzer
- The Alpha IXI by Adam Marthaler
- The Diego Crop by Diego Morales
- The Soft Crop II by Fowler Custom Crops
- The Cush Cush Riding Crop by Garrett Broussar
- The ProCush Flat Race Whip by Old Mill Saddlery

STEWARDS' HANDBOOK

TITLE	Riding Crop Violations and Penalties, Multiple Violations
REG. REFERENCE #	2282, 2283
VERSION NUMBER	1.1

2282. Riding Crop Violations and Penalties

(a) Violations of Rule 2280 shall be categorized as follows, with the exception that use of the crop for the safety of horse and Rider shall not count toward the total crop uses:

- (1) Class 3 Violation--1 to 3 strikes over the limit.
- (2) Class 2 Violation--4 to 9 strikes over the limit.
- (3) Class 1 Violation--10 or more strikes over the limit.

(b) Unless the Stewards determine the merits of an individual case warrant consideration of an aggravating or mitigating factor, the penalties for violations are as follows:

Purse	Class 3	Class 2	Class 1
Up to \$9,000	Fine: \$150 AND Minimum 1-day suspension	Fine: \$300 AND Minimum 3-day suspension AND Disqualification of the horse from the race*	Fine: \$500 AND Minimum 5-day suspension AND Disqualification of the horse from the race*
\$9,001-\$50,000	Fine: \$250 AND Minimum 1-day suspension	Fine: \$500 AND Minimum 3-day suspension AND Disqualification of the horse from the race*	Fine: \$750 AND Minimum 5-day suspension AND Disqualification of the horse from the race*
\$50,001-\$200,000	Fine: \$500 AND Minimum 1-day suspension	Fine: \$750 AND Minimum 3-day suspension AND Disqualification of the horse from the race*	Fine: \$1000 AND Minimum 5-day suspension AND Disqualification of the horse from the race*
\$200,001-\$500,000	Fine: 10% of Jockey's portion of the purse or \$750 whichever is > AND Minimum 1-day suspension	Fine: 20% of Jockey's portion of the purse or \$1000 whichever is > AND Minimum 3-day suspension AND Disqualification of the horse from the race*	Fine: 30% of Jockey's portion of the purse or \$2000 whichever is > AND Minimum 5-day suspension AND Disqualification of the horse from the race*
\$500,001-higher	Fine: 10% of Jockey's portion of the purse or \$1000 whichever is > AND Minimum 1-day suspension	Fine: 20% of Jockey's portion of the purse or \$2000 whichever is > AND Minimum 3-day suspension AND Disqualification of the horse from the race*	Fine: 30% of Jockey's portion of the purse or \$3000 whichever is > AND Minimum 5-day suspension AND Disqualification of the horse from the race*

* Disqualification of the horse from the race includes forfeiture of the purse and all attendant benefits, including but not limited to: placing, black type earnings, automatic entry berths, and trophies. Parimutuel payouts are not affected.

(c) Except for violations of Rule 2280(b)(2), for which penalties are imposed pursuant to Rule 2282(a) and (b), the Stewards may impose any of the penalties set forth in Rule 8200(b) for violations of Rules 2280 and 2281.

Purpose: *Rule 2282 establishes a scale of penalties that escalate in severity as the purse value of the race increases. The rule ensures that riding crop violations result in meaningful penalties that are fairly and consistently administered. The number of riding crop violations has declined significantly since the implementation of the riding crop rule on July 1, 2022. The rule is having the desired effect in deterring improper use of the crop on racehorses.*

The penalty of disqualification is appropriate as applied to violations by the penalty scheme. Among other things, this penalty disincentivizes trainers and owners who encourage jockeys to violate the crop rule to win races, and who in some instances pay the fine imposed upon the jockey for the violation. The Authority's Racetrack Safety Committee studied all aspects of the riding crop rule thoroughly and over a prolonged period, and received a great deal of comment and advice from jockey experts in the industry. The Authority believes the penalties achieve an equitable balance as applied to all jockeys.

2283. Multiple Violations

- (a) Stewards shall submit violations of Rule 2280 to the Authority.
- (b) Multiple violations of Rule 2280 within a 180-day period shall be subject to the enhanced penalties in paragraph (c) of this Rule.
- (c) For each violation after the first violation within a 180-day period, the fine and the suspension day(s) associated with the current violation, as established in Rule 2282(b), shall be multiplied by the number of cumulative violations of any class (Class 1, 2, and 3 violations) within the prior 180 calendar days. The following examples demonstrate the application of this rule:
- (1) 1 prior violation + current violation = 2 x fine and 2 x suspension day(s) of the current violation.
 - (2) 2 prior violations + current violation = 3 x fine and 3 x suspension day(s) of the current violation.
 - (3) 3 prior violations + current violation = 4 x fine and 4 x suspension day(s) of the current violation.

Purpose: Rule 2283 provides uniform penalties for crop violations and for the use of prohibited devices across all jurisdictions. The rule ensures that penalties are fairly and consistently administered.

Considerations:

- For use of the riding crop provisions, see rule 2280 (Use of Riding Crop)
- The stewards shall submit their rulings to HISA.
- The suspension should be applied to the next racing day not yet drawn, whenever possible. The jockey's ability to exercise horses in the morning or work in the stable area in another licensed capacity is not affected.
- Suspensions imposed for multiple violations of the 6-strike rule in Rule 2280(b)(2) shall be assigned as race days or calendar days, at the discretion of the stewards.
- While Rule 2280 (Use of the Riding Crop) expressly applies to Workouts during training, the Rule 2282 and 2283 penalties are tethered to racing. For 2280 violations during training, Rule 8200(b) (Schedule of Sanctions for Violations) permits stewards to impose any of the penalties set forth in that rule.
- In the case of Class 1 and Class 2 riding crop violations under Rule 2282(b), the horse may be determined to be disqualified after adjudication of the charged violation at a stewards hearing. If the horse is disqualified, the stewards' ruling should include a direction reordering the finish and a redistribution of purse. Equibase must be notified of the disqualification and new order of placing.
- All stewards hearings shall be recorded. The owner of the horse subject to possible disqualification should be given notice of the hearing.
- Under no circumstances should the disqualification affect the pari-mutuel payout.

- In the event of an appeal, the HISA Board and the Internal Adjudication Panel have the discretion to issue a stay. If a stay is granted, the stay should include a hold on the purse.
- The hearing and appeal process is outlined in Rule 8320(a) (Adjudication of Violations in the Rule 2200 Series), Rule 2285 (Intermediate Appeal of Violations), and Rule 8350 (Appeal to the Board). Appeals of stewards' rulings for violations of Rule 2280 and Rule 2281 are heard initially by the Internal Adjudication Panel under Rule 2285. The Internal Adjudication Panel will issue a written decision on the appeal, which may then be appealed to the Board under Rule 8350.

Purpose: *Rule 2283 establishes a penalty system for multiple violations of the Rule 2280(b)(2) 6-strike rule. An escalating multiplier is applied to repeated violations incurred over the previous 180 days.*

STEWARDS' HANDBOOK

TITLE	Redistribution of Purses
REG. REFERENCE #	2284
VERSION NUMBER	1.1

2284. Redistribution of Purse

Upon the disqualification of a Covered Horse from a Covered Horserace pursuant to the Rule 2000 Series, the purse shall be redistributed in accordance with the revised order of finish.

Purpose: *Rule 2284 is intended to resolve any confusion concerning whether the post-race redistribution of purses should be carried out by the stewards upon disqualification of a horse under the Rule 2000 Series. The rule affirmatively requires the redistribution of the purse in accordance with the order of finish.*

STEWARDS' HANDBOOK

TITLE	Intermediate Appeal of Violations
REG. REFERENCE #	2285
VERSION NUMBER	1.1

2285. Intermediate Appeal of Violations

(a) Notwithstanding any other provision in the rules of the Authority, any appeal of a Stewards ruling issued for violation of any rule set forth in Rule 2280 or 2281 shall be heard initially by the Internal Adjudication Panel established in the Rule 7000 Series. The Internal Adjudication Panel shall appoint 3 members from the pool of adjudicators to hear the appeal.

(b) An appeal made pursuant to this Rule 2285 shall not automatically stay the Stewards' ruling. A request for a stay pending an appeal under this Rule 2285 may be made to the Board pursuant to the procedures established in Rule 8350(c).

(c) A party to the Stewards' ruling may appeal to the Internal Adjudication Panel by filing with the Authority a written request for an appeal within 10 calendar days of receiving the Stewards' written ruling. The appeal request shall contain the following information:

- (1) the name, address, and telephone number, if any, of the appellant;
- (2) a description of the objection(s) to the ruling;
- (3) a statement of the relief sought; and
- (4) whether the appellant desires to have a hearing of the appeal.

(d) The Internal Adjudication Panel may waive the requirement that a written submission be filed by the appellant and permit the appellant to make an oral presentation at a hearing if doing so is in the interest of justice and the conduct of the hearing will not prejudice any of the other parties.

(e) If the appellant requests a hearing, the Internal Adjudication Panel shall set a date, time, and place for a hearing. Notice shall be given to the appellant in writing and shall set out the date, time, and place of the hearing, and shall be served personally or sent by electronic or U.S. mail to the last known address of the appellant. If the appellant objects to the date of the hearing, the appellant may obtain a continuance, but the continuance shall not automatically stay imposition of a sanction or prolong a stay issued by the Board. At the discretion of the Internal Adjudication Panel, the hearing may be conducted in person, or by means of an audio-visual videoconferencing system or a telephone audio system.

(f) If the appellant does not request a hearing, the Internal Adjudication Panel may in its discretion review a Stewards' ruling based solely upon written submissions scheduled for filing with such timing and response requirements as the Internal Adjudication Panel may require.

(g) Upon review of the Stewards' ruling which is the subject of the appeal, the Internal Adjudication Panel shall uphold the ruling unless it is clearly erroneous or not supported by the evidence or applicable law.

(h) Upon completing its review, the Internal Adjudication Panel shall issue a written decision based on the record and any further proceedings, testimony, or evidence. The decision shall:

(1) affirm the Stewards' ruling; or

(2) reject or modify the Stewards' ruling, in whole or in part.

(i) Any decision rendered by the Internal Adjudication Panel may be appealed to the Board of the Authority for review pursuant to Rule 8350. The Board may in its discretion:

(1) schedule a hearing to hear the appeal under the procedures set forth in Rule 8350; or

(2) decide the appeal based solely upon the record and any written submissions required to be filed by the Board. The Board may adopt the decision of the Internal Adjudication Panel.

Purpose: Rule 2285 establishes an intermediate appeal process to the Internal Adjudication Panel for jockeys who are penalized by the stewards for violation of the riding crop rules. Referring the appeals to the Internal Adjudication Panel expedites the appeal process and provides a meaningful appeal and adjudication process in advance of any further appeal to the Board.

STEWARDS' HANDBOOK

TITLE	Provisional Suspension of Registration
REG. REFERENCE #	2287
VERSION NUMBER	1.1

2287. Provisional Suspension of Registration**(a) Provisional Suspension of Covered Person's Registration.**

(1) If the Stewards or the Authority have reasonable grounds to believe that the actions or inactions of a Covered Person present an imminent danger to the health, safety, or welfare of Covered Horses or Riders arising from specific violations by the Covered Person of the Authority's Racetrack safety or accreditation rules, the Stewards or the Authority may issue to such Covered Person a written notice to show cause concerning a potential provisional suspension of the Covered Person's registration, which notice shall include:

(i) an itemization of the specific Authority's safety and accreditation rules which the Covered Person is believed to have violated, and a summary of the conditions, practices, facts, or circumstances which give rise to each apparent violation;

(ii) the corrective actions suggested to achieve compliance;

(iii) a request for a written response to the findings, including commitments to suggestive corrective action or the presentation of mitigating or opposing facts and evidence; and

(iv) a statement that the Covered Person may within 3 business days of receipt of the show-cause notice request a provisional hearing, which, absent exceptional circumstances necessitating a reasonable delay of the hearing, shall be conducted within 3 business days of receipt by the Authority of the Covered Person's request for a provisional hearing. If the Covered Person does not request a provisional hearing within 3 business days of the Covered Person's receipt of the show-cause notice, the Authority shall initiate a provisional hearing in accordance with Rule 2287(b).

(2) Notwithstanding Rule 2287(a)(1), if the Stewards or the Authority have clear and convincing evidence that the actions or inactions of the Covered Person present an immediate threat of serious injury or death to Covered Horses or Riders arising from violations by the Covered Person of the Authority's safety or accreditation rules, the Stewards or the Authority may immediately issue a provisional suspension of the Covered Person's registration, which shall remain in effect until the provisional hearing described in paragraph (b) of this Rule.

(3) Nothing in the Authority's rules shall preempt or otherwise impair the authority of a State Racing Commission to suspend a Covered Person in accordance with its provisions of licensure.

(b) Provisional Hearing.

(1) A Covered Person who has received a show cause notice pursuant to Rule 2287(a)(1) or whose registration has been provisionally suspended pursuant to Rule 2287(a)(2) is entitled to a provisional hearing to be conducted by one of the following, as determined by the Authority:

(i) one or more members of the Internal Adjudication Panel;

(ii) an independent Arbitral Body;

(iii) the Stewards for adjudication in accordance with the hearing procedures of the applicable state jurisdiction. Provided however, that in any state that has not entered into an agreement with the Authority under which the state Stewards serve in an adjudicatory capacity under the Rule 8000 Series and enforce the Rule 2200 Series, a hearing may be conducted by one or more Stewards, notwithstanding any state rule to the contrary; or

(iv) a panel of 3 Board members appointed by the Board chair.

(2) The provisional hearing may be conducted in person, or by means of an audio-visual teleconferencing system or a telephone audio system.

(3) The provisional hearing shall be conducted within 3 business days of receipt by the Authority of the Covered Person's request for a provisional hearing. If the Covered Person does not request a provisional hearing, the Authority shall conduct the provisional hearing within 7 business days of the date the show-cause notice was issued to the Covered Person pursuant to Rule 2287(a)(1) or the date the provisional suspension was issued pursuant to Rule 2287(a)(2). The provisional hearing is not a full hearing on the merits, and the sole issue to be determined at the provisional hearing shall be whether the Covered Person's provisional suspension shall remain in effect, go into immediate effect, be stayed pending a final hearing under section (c) of this Rule 2287, or be withdrawn.

(4) At the provisional hearing, the burden is on the Authority to demonstrate good cause why the provisional suspension should remain in effect, go into immediate effect, or be stayed pending a final adjudication. The adjudicatory panel conducting the hearing shall consider all factors that it deems appropriate, including but not limited to the factors established in Rule 8360(e)(1)-(5). Within 72 hours of the conclusion of the hearing, the

adjudicatory panel shall issue a written decision determining whether the provisional suspension shall remain in effect, go into immediate effect, be stayed pending a final adjudication, or be withdrawn. As a condition of issuing a stay of the provisional suspension, the adjudicatory panel may require the Covered Person to comply with additional safety standards or other requirements necessary to protect the health, safety, or welfare of Covered Horses or Riders.

(c) Final Hearing by the Board.

(1) A final hearing on the matters giving rise to the provisional suspension shall be adjudicated by at least a quorum of the Board in accordance with the procedures set forth in Rule 8340(d) through (j). If a panel of Board members conducted the provisional hearing pursuant to Rule 2287(b)(1)(iv), the Board members that participated in the provisional hearing shall not participate in the final hearing. If the Covered Person has requested a final hearing, the final hearing by the Board shall be conducted within 14 calendar days of the request by the Covered Person for a final hearing, absent exceptional circumstances which necessitate a reasonable delay of the hearing. If the Covered Person does not request a final hearing within 10 calendar days of the written decision referenced in subsection (b)(3), the Board shall schedule the final hearing.

(2) Within 7 business days of the conclusion of the final hearing, the Board may take one or more of the following actions:

(i) order that the Covered Person's registration be reinstated, suspended, or revoked, upon a vote in favor of reinstatement, suspension, or revocation by two-thirds of a quorum of the members of the Board; or

(ii) reinstate the Covered Person's registration subject to any requirements the Board deems necessary to ensure that horseracing will be conducted in a manner consistent with the Authority's safety or accreditation rules. The Board may also impose a fine upon reinstatement in an amount not to exceed \$50,000.00.

(3) The outcome of the final hearing shall be the final decision of the Authority as that term is used in Rule 8350 and Rule 8370 and shall constitute a final civil sanction subject to appeal and review in accordance with the provisions of 15 U.S.C. 3058.

(d) This Rule 2287 shall not apply to Racetracks. Provisional suspensions of Racetracks shall be governed exclusively by Rule 2117.

Purpose: *Rule 2287 is intended to address those situations in which a Covered Person's actions present an imminent danger to the health, safety, or welfare of Covered Horses or Riders. The rule permits the stewards or the Authority to issue a provisional suspension of registration after an initial hearing conducted on an expedited basis. The rule also provides a procedure for a Covered Person to appeal the issuance of a provisional suspension. The rule is very important as a means of permitting the stewards or the Authority to take prompt action to protect horses and riders from serious hazards that arise from rule violations.*

STEWARDS' HANDBOOK

TITLE	Jockey Eligibility
REG. REFERENCE #	2291
VERSION NUMBER	1.1

2291. Jockey Eligibility

(a) A Jockey shall pass a physical examination given within the previous 12 months by a licensed medical provider affirming the Jockey's fitness to participate as a Jockey, as well as a baseline Concussion test using the Sport Concussion Assessment Tool, Fifth Edition, or such other generally accepted Concussion testing protocol specified by the Authority's National Medical Director. Documentation affirming the Jockey's fitness to participate as a Jockey and successful completion of the physical examination and concussion test in a form and format approved by the Authority's National Medical Director shall be submitted by the Jockey to the Authority's electronic platform designated for collection and storage of Jockey eligibility documentation. Jockey eligibility documentation must be submitted by the Jockey at least annually and updated examination, testing, and affirming documentation may be required more frequently as needed following illness, injury, or other circumstances impacting Jockey's fitness to participate as reasonably determined by the Medical Director or the Authority's National Medical Director. The Stewards may require that any Jockey be reexamined and may refuse to allow any Jockey to ride in a race or Workout pending completion of such examination.

(b) All Jockeys shall execute a written authorization permitting the release of medical information as needed to assist in the collection or receipt of Jockey eligibility documentation and coordination of care in response to racing related injury or illness. Medical information submitted to the Authority shall be maintained by the Authority's electronic platform designated for collection and storage of Jockey eligibility documentation.

Purpose: *Rule 2291 requires that a jockey undergo a physical examination, including a baseline concussion test, to be eligible to ride in races. The rule ensures that jockeys are physically fit and capable of riding without endangering themselves or other participants during a race. In the case of a jockey injury, baseline concussion data will be available for comparison to the injury-related concussion assessment.*

Considerations:

Jockeys are required to submit to HISA the medical records documenting their completion of the physical examination and baseline concussion test. The medical records are stored in the "Headcheck Health" electronic storage platform. Jockeys are required to update the medical records on file with HISA. Per Rule 2132, the Medical Director is charged with ensuring jockey compliance with the medical records requirement.

STEWARDS' HANDBOOK

TITLE	Jockey and Exercise Rider Medical History Information
REG. REFERENCE #	2292
VERSION NUMBER	1.1

2292. Jockey and Exercise Rider Medical History Information

(a) At all times while mounted on a Covered Horse or Pony Horse at a Racetrack, a Rider shall securely attach to the Rider's safety vest one or more medical information cards describing the Rider's medical history and any conditions pertinent to emergency care, including a listing of any previous injuries, drug allergies and current medications.

(b) The Stewards shall confirm compliance during their safety vest inspections at the beginning of the season and with random inspections throughout the Race Meet.

(c) The Stewards may, in their discretion, take disciplinary action against, suspend, make ineligible to race, or fine any Rider found in violation of this Rule.

Purpose: *Rule 2292 requires that jockeys and exercise riders while mounted must have medical information cards pertaining to emergency care attached securely to their vests. The rule ensures that medical information necessary to render emergency care will be readily available to medical providers in the event of an injury.*

STEWARDS' HANDBOOK

TITLE	Equipment, Weight of Riders
REG. REFERENCE #	2293, 2294
VERSION NUMBER	1.1

2293. Equipment

(a) Helmets.

- (1) Any Rider mounted on a Covered Horse or Pony Horse anywhere on Racetrack grounds shall wear a properly secured safety helmet.
- (2) All Starting Gate Persons shall wear a properly secured safety helmet at all times while performing their duties or handling a horse.
- (3) The safety helmet may not be altered in any manner and the product marking shall not be removed or defaced.
- (4) The Stewards, or their designee, shall inspect safety helmets at the beginning of a Race Meet and randomly throughout the Race Meet.
- (5) The clerk of scales shall report to the Stewards any variances of safety helmets seen during the course of their work.
- (6) The helmet must comply with one of the following minimum safety standards or later revisions:
 - (i) American Society for Testing and Materials (ASTM 1163);
 - (ii) European Standards (EN-1384 or PAS-015 or VG1);
 - (iii) Australian/New Zealand Standards (AS/NZ 3838 or ARB HS 2012); or
 - (iv) Snell Equestrian Standard 2001.

(b) Vests.

- (1) Any Rider mounted on a Covered Horse or Pony Horse on the Racetrack grounds must wear a properly secured safety vest.
- (2) All Starting Gate Persons shall wear a properly secured safety vest at all times while performing their duties or handling a horse. All Starting Gate Persons are required to securely attach to their safety vest one or more medical information cards describing their medical history and any conditions pertinent to emergency care, including a listing of any previous injuries, drug allergies, and current medications.
- (3) The safety vest may not be altered in any manner and the product marking shall not be removed or defaced.

- (4) The Stewards shall inspect safety vests at the beginning of a Race Meet and randomly throughout the Race Meet.
- (5) The clerk of scales shall report to the Stewards any variances of safety vests seen during their course of work.
- (6) The safety vest must comply with one of the following minimum standards, as the same may be from time to time amended or revised:
- (i) British Equestrian Trade Association (BETA):2000 Level 1;
 - (ii) iEuro Norm (EN) 13158:2000 Level 1;
 - (iii) American Society for Testing and Materials (ASTM) F2681-08 or F1937;
 - (iv) Shoe and Allied Trade Research Association (SATRA) Jockey Vest Document M6-3; or
 - (v) Australian Racing Board (ARB) Standard 1.1998.

Purpose: *Rule 2293 requires starting gate personnel and any person mounted on a horse to wear a protective helmet and vest to minimize the risk of injury in the case of an accident. The rule is intended to preserve the safety and well-being of jockeys.*

2294. Weight of Riders

The weight of an approved safety helmet and an approved safety vest shall be excluded from the required weight to be carried by a Jockey during a race.

Purpose: *Rule 2294 encourages the use of a helmet and a safety vest by excluding the weight of these items from applicable weight requirements. Jockeys do not have to be concerned that the added weight will cause them to exceed the weight requirements for a particular race.*