

**RCI MODEL RULES COMMITTEE**  
*PETITION FOR NEW RULE OR CHANGE TO EXISTING*

Please submit this petition via email to [rules@arci.com](mailto:rules@arci.com). Submissions received within 45 days of the next committee meeting will only be considered at that meeting at the discretion of the President or Chair of the Model Rules Committee. Printed petitions should be sent to:

Racing Commissioners International  
1510 Newtown Pike, Suite 210  
Lexington, KY 40511  
Phone: 859/224-7070

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**A. Brief Description of the Issue**

- Language updates throughout Chapter 6 that include changing "Commission" to "Regulatory Authority" and "State" to "Jurisdiction," to include Canada and other countries
- Updating to reflect technology being implemented or currently in use in the industry (e.g. Digital Certificates and Photos, Microchips)
- Addition of "Outriders" and removal of "Photo Finish Operator" as Racing Officials
- Addition of an "Outriders General Duties" section
- Addition of a rule for Horse Eligibility after a positive test is returned and a purse payment timeframe
- Under 'Disciplinary Action' increasing license suspension from "one" to "five" years and fine from "\$2,500" to "\$10,000"
- Update to Coupled Entries rule to reflect the current state of the industry

**B. Discussion of the Issue and Problem**

There is a lack of uniformity between states regarding Horse Eligibility after a positive test is returned and widely differing purse payment timeframes during said process. Roughly half of the jurisdictions surveyed reported that all horses involved retain their original placings until final adjudication and the other half require both the first and second place horses to carry the win penalty until final adjudication.

ROAP conducted Regional Stewards Conference calls in September 2018 and found the following results:

1. Eligibility after a Positive Test

- Horses retain original placing until after appeal is decided in:  
WA, CA\*, AZ, WY, CO, ID, NY, FL, ALB, ONT  
(\*CA: assuming that a stay or TRO is granted, but those are not automatic with an appeal)
- Both the 1<sup>st</sup> and 2<sup>nd</sup> place horse carry the win after the first ruling (and during appeal):  
TX, AR, NJ, MD, LA, IL, OH, IA, MA, DE
- Both 1<sup>st</sup> and 2<sup>nd</sup> place horse carry the win after positive test of 1<sup>st</sup> place horse:  
MN, KY, TT
- Due to the sometimes lengthy appeal process, most felt that it was unfair to force the 2<sup>nd</sup> place horse to also carry the win before the case was ultimately adjudicated

2. Purse Payment Timeframe

- Held for horses sent to test barn:  
IA, DE, AR, TX, NJ, TT
- All released within 24-72 hours:  
CA, MN, NY, MA
- Only stakes are withheld:  
WA, FL, ALB, ONT
- All held until tests clear:  
AZ
- All are paid within 2 weeks:  
NE
- Horsemen's Group Guarantees Purses:  
WA, MN, FL, MD

3. Penalty limits should be increased

4. Outriders should be added to the list of Racing Officials because of their direct involvement in the race (as lead ponies)

5. Photo Finish Operators should not be listed as Racing Officials because they are usually employees of the equipment owner or racetrack

6. Horseshoe Inspectors should be removed as Racing Officials because some states do not allow individuals to hold more than one license and many Horseshoe Inspectors have a second occupation at the track

### C. Possible Solutions and Impact

A model rule for eligibility adopted in all states would eliminate instances where a horse is eligible for a condition in one state but not another (e.g. a maiden race).

### D. Please identify any affected stakeholder groups that expressed support or opposition.

(These stakeholders may include the racetracks, breed registries, owners, trainers, jockeys, veterinarians, or others.)

The proposed changes are supported by the majority of regional representatives of active North American Stewards.

### E. Attach the model rule language you are proposing. Please show new language with underlined text. If you are proposing that current model rule language be eliminated,

please strikeout the language to be deleted.

- F. Do any racing jurisdictions currently have a version of this rule in effect? If yes, please attach copies of those rules.

Yes, Washington has a similar eligibility rule in effect. See attached.

- G. Review the RCI Model Rules and identify any other Model Rules this change would affect and submit proposed amendments to those rules to comply with changes that would be made by this proposal.

*FILING THIS REQUEST WITH RCI DOES NOT GUARANTEE YOUR PROPOSAL WILL BE CONSIDERED BY THE MODEL RULES COMMITTEE. IF YOU HAVE OPPOSITION FROM AN INTERESTED PARTY, YOU ARE STRONGLY ENCOURAGED TO TRY TO REACH CONSENSUS PRIOR TO FILING THIS FORM.*

## FLAT RACING OFFICIALS - CHAPTER 6

### **ARCI-006-005 Purpose**

To define the duties and responsibilities of flat racing officials

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

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

#### **A. Racing Officials**

Officials at a race meeting include the following:

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

#### **B. Eligibility**

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

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

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

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

#### D. Prohibited Practices

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

- (1) participate in the sale or purchase, or ownership of any horse racing at the meeting;
- (2) sell or solicit horse insurance on any horse racing at the meeting;
- (3) be licensed in any other capacity without permission of the [CommissionRegulatory Authority](#), or in case of an emergency, the permission of the stewards;
- (4) wager on the outcome of any race under the jurisdiction of the [CommissionRegulatory Authority](#); or
- (5) consume or be under the influence of alcohol, or any prohibited substances while performing official duties.

#### E. Report of Violations

Racing officials and their assistants shall report immediately to the stewards every observed violation of these rules and of the laws of this [statejurisdiction](#) governing racing.

#### F. Observations and Notifications

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

#### G. Complaints Against Officials

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

#### H. Appointment

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

#### I. Appointment of Substitute Officials

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

#### J. Appointment of Substitute Steward

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

appointed, the ~~Commission~~[Regulatory Authority](#) and the association shall be notified by the stewards.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02  
Version 3.1 to 3.2 ARCI 12/9/04 NAPRA 12/9/04: Deleted and modified rule language  
Version 4.4 to 4.5 ARCI 4/23/09 Amended language  
Version 4.9 to 5.0 ARCI 12/9/11 Added language Observation and Notification  
Version 5.0 to 5.1 ARCI 4/27/12 deleted language

## **ARCI-006-015 Stewards**

### **A. Accreditation**

To qualify for appointment as a Steward, the appointee shall meet the experience, education and examination requirements necessary to be accredited by the Racing Officials Accreditation Program in association with the Universities of Arizona and Louisville and be in good standing with all racing jurisdictions.

### **B. General Authority**

- (1) The stewards for each meeting shall be responsible to the ~~Commission~~[Regulatory Authority](#) for the conduct of the race meeting in accordance with the laws of this ~~state~~[jurisdiction](#) and these rules.
- (2) The stewards shall enforce these rules and the racing laws of this jurisdiction.
- (3) The stewards' authority includes supervision of all racing officials, track management, licensed personnel, other persons responsible for the conduct of racing, and patrons, as necessary to insure compliance with these rules.
- (4) The stewards shall have authority to resolve conflicts or disputes related to racing and to discipline violators in accordance with the provisions of these rules.
- (5) The stewards have the authority to interpret the rules and to decide all questions of racing not specifically covered by the rules.

### **C. Period of Authority**

The stewards' period of authority shall commence 10 days prior to the beginning of each meeting and shall terminate with the completion of their business pertaining to the meeting.

### **D. Disciplinary Action**

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

- (7) The stewards may impose any of the following penalties on a licensee for a violation of these rules:
- (a) issue a written reprimand or warning;
  - (b) assess a fine;
  - ~~(b)~~(c) assess Multiple Medication Violation points;
  - ~~(e)~~(d) require forfeiture or redistribution of purse or award, when specified by applicable rules;
  - ~~(d)~~(e) place a licensee on probation;
  - ~~(e)~~(f) suspend a license or racing privileges;
  - ~~(f)~~(g) revoke a license; or
  - ~~(g)~~(h) exclude from grounds under the jurisdiction of the CommissionRegulatory Authority.
- (8) The stewards may suspend a license for not more than ~~one~~five years per violation; ~~or~~ ~~or~~ they may impose a fine not to exceed \$2,510,000 per violation; ~~or they may suspend and fine; or they may~~ or and order that a person be ineligible for licensing unless specified in other sections of these rules.
- (9) The stewards shall submit a written report to the CommissionRegulatory Authority of every inquiry and hearing.
- (10) A stewards' ruling shall not prevent the CommissionRegulatory Authority from imposing a more severe penalty.
- (11) The stewards may refer any matter to the CommissionRegulatory Authority and may include recommendations for disposition. The absence of a stewards' referral shall not preclude CommissionRegulatory Authority action in any matter.
- (12) Purses, prizes, awards, and trophies shall be redistributed if the stewards or CommissionRegulatory Authority order a change in the official order of finish.
- (13) All fines imposed by the stewards shall be paid to the CommissionRegulatory Authority within (\_\_\_\_) after the ruling is issued, unless otherwise ordered.

#### E. Protests, Objections and Complaints

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

#### F. Stewards' Presence

Three stewards shall be present in the stewards' stand during the running of each race.

#### G. Order of Finish for Pari-Mutuel Wagering

- (1) The stewards shall determine the official order of finish for each race in accordance with the rules of the race chapter 10.
- (2) The decision of the stewards as to the official order of finish, including the disqualification of a horse or horses as a result of any event occurring during the running of the race, shall be final for purposes of distribution of the pari-mutuel wagering pool.

## H. Cancel Wagering

The stewards have the authority to cancel wagering on an individual betting interest or on an entire race and also have the authority to cancel a pari-mutuel pool for a race or races, if such action is necessary to protect the integrity of pari-mutuel wagering.

### I. Records and Reports

- (1) The stewards ~~shall~~may prepare a daily report, ~~in~~in a format approved by the ~~Commission~~Regulatory Authority, detailing their actions and observations made during each day's race program. The report ~~shall~~should contain the name of the racetrack, the date, the weather and track conditions, scratches, horses sent to the test barn, horses euthanized or died on association grounds, on the racetrack or vanned off, program changes, claims, inquiries, ~~and~~and objections, ~~and~~and any unusual circumstances or conditions, and any other information required by the Regulatory Authority. The report shall be signed by each steward, ~~and be~~and filed with the ~~Commission~~Regulatory Authority not later than 24 72 hours after the end of each race day, and made available to the public including posting to the regulatory authority and/or association website.
- (2) The presiding steward shall maintain a detailed log of the stewards' official activities. The log shall describe all questions, disputes, protests, complaints, or objections brought to the attention of the stewards and all interviews, investigations and rulings made by the stewards. The log shall be available at all times for inspection by the ~~Commission~~Regulatory Authority or its designee.
- (3) Not later than seven days after the last day of a race meeting, the presiding steward shall submit to the ~~Commission~~Regulatory Authority a written report regarding the race meeting. The report shall contain:
  - (a) the stewards' observations and comments regarding the conduct of the race meeting and the overall conditions of the association grounds during the race meeting;
  - ~~(a)~~(b) any recommendations for rule changes, and protocols for the regulation of the race meeting; and
  - ~~(b)~~(c) any recommendations for improvement by the association or action by the ~~Commission~~Regulatory Authority.

### J. Stewards' List

- (1) The stewards shall maintain a Stewards' List of the horses which are ineligible to ~~start~~be entered in a race because of poor or inconsistent performance or behavior on the racetrack that endangers the health or safety of other participants in racing.
- (2) The stewards may place a horse on the Stewards' List when there exists a question as to the exact identification or ownership of said horse.
- (3) A horse which has been placed on the Stewards' List because of inconsistent performance or behavior, may be removed from the Stewards' List when, in the opinion of the stewards, the horse can satisfactorily perform competitively in a race without endangering the health or safety of other participants in racing.
- (4) A horse which has been placed on the Stewards' List because of questions as to the exact identification or ownership of said horse, may be removed from the Stewards' List when, in the opinion of the stewards, proof of exact identification and/or ownership has been established.



## **ARCI-006-020 Racing Secretary**

### **A. General Authority**

The racing secretary shall be responsible for the programming of races during the race meeting, compiling and publishing condition books, assigning weights for handicap races, and shall receive all entries, subscriptions, declarations and scratches.

### **B. Foal, Health and Other Eligibility Certificates**

- (1) The racing secretary or their designee approved by the stewards shall be responsible for receiving, inspecting and safeguarding the digital and paper foal and health certificates, Equine Infectious Anemia (EIA) test certificates and other documents of eligibility for all horses competing at the track or stabled on the grounds.
- (2) The racing secretary or their designee approved by the stewards shall record the alteration of the sex of a horse on the horse's foal certificate and or report such to the appropriate breed registry and past performance services.
- (3) The racing secretary or their designee approved by the stewards shall record on a horse's registration certificate when a posterior digital neurectomy (heel nerving) is performed on that horse and/or report such to the appropriate breed registry.
- (4) Effective January 1, 2016, the racing secretary shall ensure that all horses entered to race are registered with the Association of Racing Commissioners International or its designees.
- (5) Effective January 1, 2020, the Racing Secretary shall ensure that the foal certificates for all Thoroughbred horses entered to race that were foaled in 2018, or thereafter, have a "Digital Tattoo." This Digital Tattoo shall indicate that the Thoroughbred Racing Protective Bureau has confirmed the identity of the horse and uploaded updated digital photographs to the breed registry database.

### **C. List of Nerved Horses**

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

### **D. List of Bred Fillies and Mares**

The racing secretary shall maintain a list of all fillies or mares on association grounds who have been covered by a stallion. The list shall also contain the name of the stallion to which each filly or mare was bred and shall be made available for inspection by other licensees participating in the race meeting.

### **E. Allocation of Stalls**

The racing secretary shall assign stall applicants such stabling as is deemed proper, ~~a~~ and maintain a record of arrivals and departures of all horses stabled on association grounds.

### **F. Conditions**

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

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

ARCI 006-020(B)(4) Adopted in Version 6.2, July 16, 2015

#### G. Eligibility

- (1) When the Regulatory Authority receives an official testing laboratory report of a Positive Test or Overage for a winner of a race that requires a disqualification, change in the order of finish and redistribution of the purse, the horse in question shall maintain the win in past performance records and carry the penalty of a win when determining eligibility for entry in a subsequent race. This horse's condition and eligibility shall remain in effect until the Stewards issue a ruling disqualifying the aforementioned horse and order a redistribution of the purse.
- (2) The second place horse shall not carry the win in past performance records nor shall the second place horse carry the win in determining eligibility for entry in a subsequent race until the Stewards issue a ruling disqualifying the winner, change the order of finish and order a redistribution of the purse.
- (3) Should the aforementioned ruling be appealed, the disqualification, change in the order of finish and purse redistribution is stayed until final adjudication; and the winner must carry the win and the second place horse is not penalized for the condition.

#### A.H. Listing of Horses

The racing secretary shall:

- (1) examine all entry blanks and declarations to verify information as set forth therein; and
- (2) select the horses to start and the also eligible horses from the declarations in accordance with these rules.

#### B.I. Posting of Entries

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

#### C.J. Daily Program

The racing secretary shall publish the official daily program, ensuring the accuracy therein of the following information:

- (1) sequence of races to be run and post time for the first race;
- (2) purse, conditions and distance for each race, and current track record for such distance;
- (3) the name of licensed owners of each horse, indicated as leased, if applicable, and description of racing colors to be carried;
- (4) the name of the trainer and the name of the jockey named for each horse together with the weight to be carried;

- (5) the post position and saddle cloth number or designation for each horse if there is a variance with the saddle cloth designation;
- (6) identification of each horse by name, color, sex, age, sire and dam
- (7) A notice shall be included in the daily program that all jockeys will carry approximately three (3) pounds more than the published weight to account for safety equipment (vest and helmet) that is not included in required weighing out procedures. Additionally the jockeys may weigh in with an additional (3) pounds for inclement weather gear when approved by the stewards, and;
- (8) such other information as may be requested by the association or the [CommissionRegulatory Authority](#).

#### **D.K. Nominations and Declarations**

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

#### **E.L. Stakes and Entrance Money Records**

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

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

Version 4.6 to 4.7 ARCI Board 12/6/09: Amended Added Program Notice of Weight

### **ARCI-006-025 Horsemen's Bookkeeper**

#### **A. General Authority**

The horsemen's bookkeeper shall maintain the records and accounts and perform the duties described herein and maintain such other records and accounts and perform such other duties as the association and [CommissionRegulatory Authority](#) may prescribe.

#### **B. Records**

- (1) The records shall include the name, mailing address, social security number or federal tax identification number, and the [statejurisdiction](#) or country of residence of each horse owner, trainer or jockey participating at the race meeting who has funds due or on deposit in the horsemen's account.
- (2) The records shall include a file of all required statements of partnerships, syndicates, corporations, assignments of interest, lease agreements and registrations of authorized agents
- (3) All records of the horsemen's bookkeeper shall be kept separate and apart from the records of the association.
- (4) All records of the horsemen's bookkeeper including records of accounts and monies and funds kept on deposit are subject to inspection by the [CommissionRegulatory Authority](#) at any time.
- (5) The association licensee is subject to disciplinary action by the [CommissionRegulatory Authority](#) for any violations of or non-compliance with the provisions of this rule.

#### **C. Monies and Funds on Account**

- (1) All monies and funds on account with the horsemen's bookkeeper shall be maintained:

- (2) separate and apart from monies and funds of the association;
- (3) in a trust account designated as Horsemen's Trust Account; and
- (4) in an account insured by the Federal Deposit and Insurance Corporation or the Federal Savings and Loan Insurance Corporation.
- (5) The horsemen's bookkeeper shall be bonded in accordance with [CommissionRegulatory Authority](#) stipulations.
- (6) The amount of purse money earned is credited in the currency of the jurisdiction in which the race was run. There shall be no appeal for any exchange rate loss at the time of transfer of funds from another jurisdiction.

#### D. Payment of Purses

- (1) The horsemen's bookkeeper shall receive, maintain and disburse the purses of each race and all stakes, entrance money, jockey fees, purchase money in claiming races, along with all applicable taxes and other monies that properly come into his/her possession in accordance with the provisions of [CommissionRegulatory Authority](#) rules.
- (2) The horsemen's bookkeeper may accept monies due belonging to other organizations or recognized meetings, provided prompt return is made to the organization to which the money is due.
- (3) The fact that purse money has been distributed prior to the issuance of a laboratory report shall not be deemed a finding that no chemical substance has been administered, in violation of these rules, to the horse earning such purse money.
- (4) The horsemen's bookkeeper shall disburse the purse [monies earned by horses not sent to the test barn in](#) each race and all stakes, entrance money, jockey fees and purchase money in claiming races, along with all applicable taxes, ~~upon request, the next business day. within 48 hours of receipt of~~ [Upon](#) -notification that all tests with respect to such races have cleared the drug testing laboratory(ies) as reported by the stewards or the [CommissionRegulatory Authority](#), ~~the horsemen's bookkeeper shall distribute purse monies earned to those horse owners whose test have cleared except that minimum jockey mount fees may be disbursed prior to notification that the tests have cleared~~ the testing laboratory(ies). [Should there be a prior written agreement between the Association and the horsemen's representative organization at that track guaranteeing the reimbursement of all purses ordered to be returned to the Horsemen's Bookkeeper in order to comply with a Stewards' or Regulatory Authority's order for a redistribution due to a positive laboratory report, ineligibility or other rule violation requiring a purse redistribution, the Horsemen's Bookkeeper shall disburse the purses earned by horses in each race including all stakes and entrance monies the next business day.](#)
- (5) Absent a prior request, the horsemen's bookkeeper shall disburse monies to the persons entitled to receive same within 15 days after the last race day of the race meeting, including purses for official races, provided that all tests with respect to such races have cleared the drug testing laboratory(ies) as reported by the stewards, and provided further that no protest or appeal has been filed with the stewards or the [CommissionRegulatory Authority](#).
- (6) In the event a protest or appeal has been filed with the stewards or the [CommissionRegulatory Authority](#), the horsemen's bookkeeper shall disburse the purse within 48 hours of receipt of dismissal or a final non-appealable order disposing of such protest or appeal.

### **ARCI-006-030 Paddock Judge**

#### **A. General Authority**

The paddock judge shall:

- (1) supervise the assembly of horses in the paddock no later than fifteen (15) minutes before the scheduled post time for each race;
- (2) maintain a written record of all equipment, inspect all equipment of each horse saddled and report any change thereof to the stewards;
- (3) Insure that all horses are properly equipped with a type of safety reins that are approved by the ~~commission~~[Regulatory Authority](#), and are originally designed and constructed to insure a secure secondary connection to the bit and reinforcement to prevent breakage.
- (4) prohibit any change of equipment without the approval of the stewards;
- (5) ensure that the saddling of all horses is [done by or under the direct supervision of the trainer or licensed assistant trainer listed in the daily racing program or the trainer's licensed assistant trainer, unless prior approval has been granted by the stewards; and is](#) orderly, open to public view, free from public interference, and that horses are mounted at the same time, and leave the paddock for the post in proper sequence;
- (6) supervise paddock schooling of all horses approved for such by the stewards;
- (7) report to the stewards any observed cruelty to a horse;
- (8) ensure that only properly authorized persons are permitted in the paddock; and
- (9) report to the stewards any unusual or illegal activities.

#### **B. Paddock Judge's List**

- (1) The paddock judge shall maintain a list of horses which shall not be ~~entered~~[allowed to start](#) in a race because of poor or inconsistent behavior in the paddock that endangers the health or safety of other participants in racing.
- (2) At the end of each race day, the paddock judge shall provide a copy of the List to the stewards.
- (3) To be removed from the paddock judge's List, a horse must be schooled in the paddock and demonstrate to the satisfaction of the paddock judge and the stewards that the horse is capable of performing safely in the paddock.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02  
Version 4.0 to 4.1: New rule language added

### **ARCI-006-035 Horse Identifier**

#### **A. General Authority**

The Horse Identifier shall:

- (1) when required, ensure the safekeeping of [digital and paper](#) registration certificates and racing permits for horses stabled and/or racing on association grounds;
- (2) inspect documents of ownership, eligibility, registration or breeding necessary to ensure the proper identification of each horse scheduled to compete at a race meeting;

- (3) examine without physically touching unless wearing a disposable, sterile glove, for every starter in the paddock for sex, color, markings and lip tattoo, microchip (ISO 11784), freeze brand or other identification method approved by the appropriate breed registry and the CommissionRegulatory Authority for comparison with its registration certificate to verify the horse's identity; and
- (4) supervise when requested by the Regulatory Authority, monitor the tattooing, microchipping, freeze branding or other method of identification approved by the appropriate breed registry and the CommissionRegulatory Authority done to and for identification of any horse located on association grounds.

## B. Report Violations

The Horse Identifier shall report to the stewards any horse not properly identified or whose registration certificate is not in conformity with these rules.

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

Version 4.4 to 4.5 ARCI 4/23/09 Amended language added microchip and freeze brand

### **ARCI-006-040 Clerk Of Scales**

#### A. General Authority

The clerk of scales shall:

- (1) verify the presence of all jockeys in the jockeys' room at the appointed time;
- (2) verify that all such jockeys have a current jockey's license issued by the CommissionRegulatory Authority;
- (3) verify the correct weight of each jockey at the time of weighing out and weighing in and report any discrepancies to the stewards immediately;
- (4) oversee the security of the jockeys' room including the conduct of the jockeys and their attendants;
- (5) promptly report to the stewards any infraction of the rules with respect to weight, weighing, riding equipment, safety equipment, riding crops, or conduct;
- (6) record all required data on the scale sheet and submit that data to the horsemen's bookkeeper at the end of each race day;
- (7) maintain the record of applicable winning races on all apprentice certificates at the meeting;
- (8) release apprentice jockey certificates, upon the jockey's departure or upon the conclusion of the race meet; and
- (9) assume the duties of the jockey room custodian in the absence of such employee.

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

### **ARCI -006-045 Jockey Room Custodian**

The jockey room custodian shall:

- (1) supervise the conduct of the jockeys and their attendants while they are in the jockey room;
- (2) keep the jockey room clean and safe for all jockeys;
- (3) ensure all jockeys are in the correct colors before leaving the jockey room to prepare for mounting their horses;

- (4) keep a daily film list as dictated by the stewards and have it displayed in plain view for all jockeys;
- (5) keep a daily program displayed in plain view for the jockeys so they may have ready access to mounts that may become available;
- (6) keep unauthorized persons out of the jockey room; and
- (7) report to the stewards any unusual occurrences in the jockey room.

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

### **ARCI-006-050 Starter**

#### **A. General Authority**

The starter shall:

- (1) have complete jurisdiction over the starting gate, the starting of horses and the authority to give orders not in conflict with the rules as may be required to ensure all participants an equal opportunity to a fair start;
- (2) appoint and supervise assistant starters who have demonstrated they are adequately trained to safely handle horses in the starting gate. In emergency situations, the starter may appoint qualified, licensed individuals to act as substitute assistant starters;
- (3) ensure that at least one assistant starter is available for each horse in a race;
- (4) assign the starting gate stall positions to assistant starters and notify the assistant starters of their respective stall positions not more than 10 minutes before post time for the race;
- (5) assess the ability of each person applying for a jockey's or exercise rider's license in breaking from the starting gate and working a horse in the company of other horses, and shall make said assessment known to the stewards; ~~and~~
- (6) load horses into the gate in any order deemed necessary to ensure a safe and fair start;:-
- (7) immediately report to the stewards any false starts, impeded starts or unfair starts; and
- ~~(7)~~(8) shall maintain and database detailed records of the schooling and behavior at and in the starting gate of all horses coming under his supervision.

#### **B. Assistant Starters**

With respect to an official race, the assistant starters shall not:

- (1) handle or take charge of any horse in the starting gate without the expressed permission of the starter;
- ~~(2)~~ impede the start of a race;
- ~~(2)~~(3) ear a horse with anything other than a gloved hand;
- ~~(3)~~(4) apply a whip or other device, with the exception of steward-approved twitches, to assist in loading a horse into the starting gate;
- ~~(4)~~(5) slap, boot or otherwise dispatch a horse from the starting gate;
- ~~(5)~~(6) strike or use abusive language to a jockey; or
- ~~(6)~~(7) accept or solicit any gratuity or payment other than his/her regular salary, directly or indirectly, for services in starting a race.

### C. Starter's List

No horse starting for the first-time shall be permitted to start in a race unless prior written approval (gate card) is given by an official ~~the~~ starter certifying the proper schooling in and successful breaking from the starting gate. The starter shall maintain a Starter's List of all horses which are ineligible to be entered in any race because of poor or inconsistent behavior or performance in the starting gate. Such horse shall not be permitted to start in a race~~refused entry~~ until it has demonstrated to the starter that it has been satisfactorily schooled in the gate and can be removed from the Starter's List. Schooling shall be under the direct supervision of the starter.

### D. Report Violations

The starter and assistant starter shall report all unauthorized activities to the stewards.

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

Amended Version 4.8 to Version 4.9 ARCI Board 7/27/11 Notification of unfairness of start to Stewards

### ***ARCI-006-055 Timer/Clocker***

#### A. General Authority (Timer)

- (1) The timer shall accurately record the time elapsed between the start and finish of each race.
- (2) The time shall be recorded from the instant that the first horse leaves the point from which the distance is measured until the first horse reaches the finish line.
- (3) At the end of a race, the timer shall post the official running time on the infield totalisator board on instruction by the stewards.
- (4) At a racetrack equipped with an appropriate infield totalisator board, the timer shall post the quarter times (splits) for thoroughbred races in fractions as a race is being run. For quarter horse races, the timer shall post the official times in hundredths of a second.
- (5) For back-up purposes, the timer shall also use a stopwatch to time all races. In time trials, the timer shall ensure that at least three stopwatches are used by the stewards or their designees.
- (6) The timer shall maintain a written record of fractional and finish times of each race and have same available for inspection by the stewards or the CommissionRegulatory Authority on request.

#### B. General Authority (Clocker)

- (1) The clocker shall be present during training hours at each track on association grounds, which is open for training, to identify each horse working out and to accurately record the distances and times of each horse's workout.
- (2) Each day, the clocker shall prepare a list of workouts that describes the name of each horse which worked along with the distance and time of each horse's workout.
- (3) At the conclusion of training hours, the clocker shall deliver a copy of the list of workouts to the stewards and the racing secretary.

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



### **ARCI-006-060 Patrol Judge**

#### **A. General Authority**

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

#### **B. Gate Judge**

The ~~Commission~~Regulatory Authority may require each track to employ a gate judge whose duties shall include being present at the starting gate just prior to the running of each race to observe and report any violations of the rules to the stewards, and to otherwise assist the stewards as they may so order.

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

### **ARCI-006-065 Placing Judge**

#### **A. General Authority**

The placing judges shall determine the order of finish in a race as ~~the~~each horse's nose passes the finish line, and with the approval of the stewards, may display the results on the totalizator board. If the horse's nose is not visible in the photo-finish, the placing judges with the approval of the stewards shall approximate the location of the horse's nose.

#### **B. Photo Finish**

- (1) In the event the placing judges or the stewards request a photo of the finish, the photo finish sign shall be posted on the totalizator board.
- (2) Following their review of the photo finish, the placing judges shall, with the approval of the stewards, determine the exact order of finish for all horses participating in the race, and shall immediately post the numbers of the first four finishers on the totalizator board.
- (3) In the event a photo was requested, the placing judges shall cause a photographic or digital print of said finish to be produced. The finish photograph or digital print shall, when needed, be used by the placing judges as an aid in determining the correct order of finish.
- (4) Upon determination of the correct order of finish of a race in which the placing judges have utilized a photographic or digital print to determine the first four finishers, the placing judges shall cause prints of said photograph or digital print to be displayed publicly ~~in the grandstand and clubhouse areas of the racetrack, the on-track television monitors and provided to simulcast feeds outlets.~~

#### **C. Dead Heats**

- (1) In the event the placing judges determine that two or more horses finished the race simultaneously and cannot be separated as to their order of finish, a dead heat shall, with the approval of the stewards, be declared.
- ~~(1)~~(2) In the event a hidden nose cannot be determined with confidence by the placing judges with the approval of the stewards, a dead heat shall be declared.

(2)(3) In the event one or more of the first four finishers of a race are involved in a dead heat, the placing judges shall post the dead heat sign on the totalisator board and cause the numbers of the horse or horses involved to blink on the totalisator board.

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

### **ARCI-006-070 Official Veterinarian**

#### **A. General**

The official veterinarian shall:

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

#### **B. Responsibilities**

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

The official veterinarian shall:

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

- (7) \* provide emergency medical care to horses injured racing and effect case transfer to the practicing veterinarian;
- (8) \* be authorized to humanely destroy any horse deemed to be so seriously injured that it is in the best interests of the horse to so act; and
- (9) \* report to the [CommissionRegulatory Authority](#) the names of all horses humanely destroyed or which otherwise expire at the meeting and the reasons therefore;
- (10) \* maintain all required records of postmortem examinations performed on horses which have died within the jurisdiction of the [CommissionRegulatory Authority](#);
- (11) \* maintain the Veterinarian's List of horses ineligible to race;
- (12) supervise and control the Test Barn;
- (13) supervise the taking of all specimens for testing according to procedures approved by the [CommissionRegulatory Authority](#);
- (14) provide proper safeguards in the **best practices chain of custody** handling of all laboratory specimens to prevent tampering, confusion, or contamination and assure sample integrity;
- (15) provide the stewards with a written statement regarding the nature and seriousness of all laboratory reports of prohibited substances in equine samples.
- (16) have jurisdiction over the practicing licensed veterinarians within the enclosure for the purpose of these rules;
- (17) review and consult with the applicants and the stewards/[CommissionRegulatory Authority](#) regarding [CommissionRegulatory Authority](#) license applications of practicing veterinarians, veterinary technicians or assistants, vendors of medical supplies and equipment, non-veterinarian health care providers (massage therapists, nutritionists, physical therapists, etc.);
- (18) \* cooperate with practicing veterinarians and other regulatory agencies to take measures to control communicable and/or reportable equine diseases.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02  
Version 4.4 to 4.5 ARCI 4/23/09 Amended language

### **ARCI-006-075 Racing Veterinarian**

#### General Authority

- (1) The racing veterinarian(s) shall be an employee of the [CommissionRegulatory Authority or association](#). At the discretion of the [CommissionRegulatory Authority](#), the duties of the racing veterinarian may be assumed by the official veterinarian.
- (2) The racing veterinarian shall:
  - (a) be directly responsible to the official veterinarian;
  - (b) be a graduate veterinarian and be licensed to practice in the jurisdiction;
  - (c) be available to the racing secretary and/or the stewards prior to scratch time each racing day, at a time designated by the stewards, to inspect any horses and report on their condition as may be requested by the stewards;
  - (d) be present in the paddock during saddling, on the racetrack during the post parade and at the starting gate until the horses are dispatched from the gate for the race;
  - (e) inspect any horse when there is a question as to the physical condition of such horse;

- (f) recommend scratching a horse to the stewards if, in the opinion of the racing veterinarian, the horse is physically incapable of exerting its best effort to win;
- (g) inspect any horse which appears in physical distress during the race or at the finish of the race; and shall report such horse together with his/her opinion as to the cause of the distress to the stewards and to the official veterinarian;
- (h) refuse employment or payment, directly or indirectly, from any horse owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the official veterinarian for the ~~Commission~~[Regulatory Authority](#);
- (i) refrain from directly treating or prescribing for any horse scheduled to participate during his/her term of appointment at any recognized meeting except in cases of emergency, accident or injury;
- (j) be authorized to humanely destroy any horse deemed to be so seriously injured that it is in the best interests of the horse to so act;
- (k) conduct soundness inspections on horses participating in races at the meeting; and
- (l) with approval of the official veterinarian, place horses on the Bleeder List.

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

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

The horseshoe inspector shall:

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

Adopted in Version 4.5 ARCI 4/23/09

### **ARCI-006-077 Outriders**

- 1. The Outriders shall make every effort to maintain the safety and orderly conduct of training and racing according to the rules, regulations and directives of the Regulatory Authority, stewards and association management.
- 2. The Outriders shall report all unauthorized activities, unusual occurrences or potential rule violations to the stewards.
- 3. The Outriders shall, in cooperation with the stewards, establish a plan to stop the running of a race should there be a loose horse, removal of starting gate malfunction, or in case of any other on-track issue that endangers the safety of the participants and horses.
- 4. The Outriders shall oversee and supervise all jockeys, exercise riders, pony persons and trainers when they are on the track. First-time applicants for these positions shall be observed and approved by the Outriders as a condition of licensure.

5. The Outriders shall enforce the track and regulatory rules concerning approved safety vests and protective helmets while riders are on the racetrack.

**ARCI-006-080 Any Other Person Designated By The CommissionRegulatory Authority**

The CommissionRegulatory Authority may create additional racing official positions, as needed. Persons selected for these positions shall be considered racing officials and shall be subject to the general eligibility requirements outlined in Section I of this chapter. (NOTE: ARCI-006-010)

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

## ARCI-010-010 Entries And Nominations

### D. Coupled Entries

(1) With the approval of the ~~Regulatory Authority Stewards, when T~~two or more horses with common ownership ~~which~~ are entered in a race, ~~Track Management- the Racing Secretary may~~shall be joined couple the horses as a mutuel entry and single betting interest if they are owned or leased in whole or in part by the same owner or are trained by a trainer who owns or leases any interest in any of the other horses in the race, ~~except that entries may be uncoupled in stakes races.~~

**WAC 260-40-140****Horse must be eligible to start at time of entry.**

(1) All horses must be eligible to start at time of entry, as determined by conditions established by the racing secretary's published condition book or conditions for late extra races offered.

(2) During an appeal process which involves a disqualification, the horse which has been deemed disqualified will retain its original placing for eligibility purposes, until such time as the appeal is exhausted. All other horses which competed in the race, for eligibility standards, will retain their original placings until such time as the appeal is exhausted. If at the time of any subsequent race, any horse involved competes, their eligibility at the time of the race will be official and there will be no changes to the order of finish in those races.

[Statutory Authority: RCW **67.16.020**. WSR 18-03-072, § 260-40-140, filed 1/12/18, effective 2/12/18. Statutory Authority: RCW **67.16.020** and **67.16.040**. WSR 07-07-010, § 260-40-140, filed 3/8/07, effective 4/8/07; Rules of racing, § 108, filed 4/21/61.]