

**National Thoroughbred Racing Association  
Safety and Integrity Alliance  
2009-2010  
Code of Standards**

## **Preamble**

The health and safety of our human and equine athletes and the integrity of our sport are horseracing's top priorities. To accomplish these important priorities, the National Thoroughbred Racing Association ("NTRA") has organized the NTRA Safety and Integrity Alliance ("Alliance").

The Alliance membership includes racetracks, owners, breeders, horsemen, jockeys, sales companies, veterinarians, racing fans, breed registries and the associations that represent these stakeholders who agree to uphold and support the goals and objectives of the Alliance ("Members"). The Alliance's purpose is to establish standards and practices to promote safety and integrity in horseracing and to secure their implementation. Alliance Members individually and collectively are committed to ensure that the sport of horseracing is pursued in a manner consistent with high ethical standards and compliance with applicable laws and regulations.

This Code of Standards ("Code") is intended to set forth for Alliance Members a common minimum set of standards to be followed by Members in their respective roles in the horseracing industry. Members acknowledge and support the Code and will implement measures and/or abide by measures implemented by other Members, as appropriate, to adhere to the Code. Also, since the Code represents minimum standards, Members are encouraged to not only meet but exceed the standards of the Code.

This Code sets forth standards in the areas of: (1) injury reporting and prevention; (2) a safer racing environment; (3) medication and testing; (4) jockey safety and health; and (5) aftercare for retired horses. The Code further sets standards with respect to compliance and enforcement. The measures included in this Code represent the collective consideration and work product of key stakeholder organizations and individuals within the horseracing industry. These standards have been formulated through various task forces, working groups and other industry initiatives over the past several years.

This Code represents the initial standards of the Alliance. Over time, as new research and recommendations which merit inclusion become available, the Code may be amended.

### **Implementation**

Alliance Members will use reasonable efforts available to effect reforms, including House Rules, uniform model rule development through the Association of Racing Commissioners International ("ARCI"), uniform model rule adoption at the state level and legislative advocacy. The Alliance will lead these advocacy efforts with the support and cooperation of its Members. Certain components of the reforms will be implemented once definitive conclusions are reached by the Alliance. Except as expressly provided for in this Code, all references to a specific ARCI model rule shall be deemed to include the specific ARCI model rule that existed as of January 1, 2009 and any subsequent modifications to that model rule that are consistent with this Code..

Notwithstanding anything in this Code to the contrary, the inability of a Member to comply with any provision of this Code due to contrary legislative or regulatory enactment shall not be the basis for

denial or revocation of accreditation so long as the Member petitions the legislative or regulatory authority and diligently seeks to amend the contrary provision to bring it into conformity with this Code.

### **Costs**

Alliance Members agree that the costs of implementing the reforms should be the collective responsibility of the industry. Each segment of the industry must contribute to the cost of the reforms and such costs should be borne by the elements of the industry that either benefit from the reform or cause the reform to be incurred. Specific allocation of costs is not addressed in this Code. Costs required for implementation of the Code will differ by location and thus costs must be addressed at the local level through the normal contractual and/or regulatory process.

### **Utilizing and Adhering to the Code**

The horseracing industry and the Alliance Membership are composed of many different constituencies. However, since much of the organized activity in horseracing takes place at the racetrack, some provisions of the Code are addressed specifically to “Racetrack Members.” Nonetheless, each Member shall strive to adhere to each of the standards in the Code specifically applicable to that Member and to ensure that its employees, contractors and/or agents adhere to those standards.

## **Abbreviations and Definitions**

**AAEP:** American Association of Equine Practitioners

**Accreditation:** The process by which individual Members shall be certified to be in compliance with the Code. The stages of accreditation are as follows:

**Full Accreditation:** Accreditation without condition or limitation.

**Provisional Accreditation:** Accreditation conditioned upon the future implementation of specifically identified standards according to a specified timetable in order to attain Full Accreditation.

**Probationary Accreditation:** Full or Provisional Accreditation subject to revocation in absence of curing specifically identified deficiencies in a specified timeframe.

**ARCI:** Association of Racing Commissioners International.

**Association Veterinarian:** A veterinarian employed by the racetrack association.

**Horse Handlers:** Trainers, jockeys, exercise riders, veterinarians, grooms, outriders, pony people and anyone else who comes into direct contact with a horse within Racetrack Member's racetrack enclosure.

**House Rules:** Rules promulgated by racetracks concerning activities on racetrack grounds, including, without limitation, any interim measure consistent with the Code adopted by a Racetrack Member in advance of the promulgation of regulations and or legislation in racing jurisdictions.

**InCompass Solutions:** Technology solutions company that provides centralized software applications and systems that serve North American racetracks and simulcast outlets. Its central database also serves as a platform for several industry safety initiatives, including the Equine Injury Database and Jockey Health Information Systems.

**Non-Race Day:** Any day or period of time not part of a Race Day

**Phase II:** Refers to the implementation of certain standards set forth in the Code upon the commencement of live racing at a Racetrack Member's track, no sooner than calendar year 2010.

**Post-Mortem Veterinary Examinations:** Examinations conducted following the fatality of a horse substantially in conformity with the recommended protocols of the AAEP including, but not limited to the identification of drugs, shoes and any pre-existing conditions; however, such examinations shall not require full veterinary necropsies.

**Race Day:** The period of time from the entry of a horse in a race through release of the horse from post-race testing

**Regulatory Veterinarian:** A veterinarian employed by the state regulatory body.

**RMTC:** Racing Medication and Testing Consortium.

## **Code of Standards**

**1. Injury and Fatality Reporting and Prevention.** Timely and accurate reporting of injuries and fatalities is critical to the creation and maintenance of a national database concerning horse injuries and fatalities. This national database will be invaluable to the epidemiological study of the causes of horse injuries and fatalities as well as the determination of precautions necessary to lessen the incidence and severity of horse injuries. The individual participation in the database will be kept confidential but nationwide statistics will be made available publicly from time to time for the purpose of promoting public confidence in the injury reporting process. Injury prevention must also be accomplished by thorough pre and post-race exams conducted by qualified Regulatory or Association Veterinarians with the authority to keep any injured horse from running in any race until that horse is determined to be medically fit to run. In furtherance of these important objectives, each Alliance Member shall be required to do the following:

### **A. Reporting of Injuries and Fatalities**

Member shall participate in InCompass Solutions' Equine Injury Database ("EID"). Upon adoption of this Code, Member shall immediately commence reporting injuries sustained and fatalities suffered at a Racetrack Members' racetrack(s) during any Race Day. EID data collection and reporting of all injuries sustained and fatalities suffered at a Racetrack Members' racetrack(s) during a Non-Race Day will be required in Phase II of the Code.

### **B. Pre-Race Veterinary Examinations**

Pre-race veterinary examinations shall be performed by Regulatory or Association Veterinarians on all horses entered at Racetrack Members' racetrack(s). Regulators shall be petitioned to adopt a mandatory protocol for pre-race veterinary examinations of horses substantially similar, in form and substance, to the RCI model rule identified as *ARCI-011-030(A)*, including modification to the model rule based on any subsequent recommendations by the AAEP Regulatory Veterinarians Committee. In addition, so long as such model rule has not been adopted in any racing jurisdiction, Racetrack Members in such jurisdictions shall adopt a House Rule substantially similar, in form and substance, to *ARCI-011-030(A)* and make provision for a Regulatory or Association Veterinarian to perform such pre-race examinations, record the examination information, and promptly submit the recorded information to the racing commission and/or the stewards

### **C. Post-Race Veterinary Examinations**

Post-race examinations shall be performed by Regulatory or Association Veterinarians on all horses at the conclusion of every race run at Racetrack Members' racetrack(s) to determine if horses are injured or return lame or unsound. To the extent the regulatory authorities do not so regulate post-race veterinary examinations; Members shall advocate the adoption of a

mandatory protocol for post-race veterinary examinations of horses as recommended by the AAEP Regulatory Veterinarians Committee. In addition, so long as such a rule has not been adopted in a racing jurisdiction, Racetrack Members in such jurisdictions shall adopt a House Rule and make provision for a Regulatory or Association Veterinarian to perform such post-race examinations, record the examination information, and promptly submit the recorded information to the racing commission and/or the stewards.

#### **D. Post-Mortem Veterinary Examinations**

To facilitate accurate and complete reporting as part of EID, Post-Mortem Veterinary Examinations shall be performed on all horses that suffer catastrophic injury during a Race Day at Racetrack Members' racetrack(s). In Phase II, Post-Mortem Veterinary Examinations shall be performed on all horses that suffer catastrophic injury during a Race Day and during a Non-Race Day.

To the extent the regulatory authorities do not adopt a mandatory protocol for Post-Mortem Veterinary Examinations consistent with this provision of the Code, Members shall advocate the adoption of such rules by the regulatory authority. In addition, so long as such a protocol has not been adopted in any racing jurisdiction, Racetrack Members in such jurisdictions shall adopt a House Rule and provide appropriate veterinary personnel to perform such Post-Mortem Veterinary Examinations, record the examination information, and promptly submit the recorded information to the EID.

#### **E. Veterinarians' List**

Racetrack Members shall maintain a Veterinarians' List under guidelines established by the RCI Model Rule *ARCI-011-30(B), Veterinarians' List*, which states that the Regulatory Veterinarian shall maintain the Veterinarians' List of all horses which are determined to be unfit to compete in a race due to illness, physical distress, unsoundness, infirmity, non-permitted medication or any other medical condition. Members must adhere to ARCI model rules, which outline the removal of a horse from the Veterinarians' List as follows: A horse may be removed from the Veterinarians' List when, in the opinion of the Regulatory Veterinarian, (1) the condition which caused the horse to be placed on the Veterinarians' List is resolved and (2) the horse's status is returned to that of racing soundness.

In Phase II, Members shall advocate Regulatory Veterinarian participation in InCompass Solutions' Veterinarians' List Module, which provides for a central, national Veterinarians' List.

**2. Safety Equipment and Safer Racing Environment.** The horseracing industry as a whole must collectively invest in an infrastructure that is needed to make a safer racing environment. Alliance Members shall adopt the following safety measures:

**A. Shoes and Hoof Care**

Regulators shall be petitioned to adopt the ARCI Model Rule, *ARCI-010-030(27)*, pertaining to the elimination of toe grabs greater than 2mm and other traction devices on front horse shoes in Thoroughbred racing. So long as such rule has not been adopted in a racing jurisdiction, Members in such jurisdictions shall adopt and/or adhere to a House Rule consistent with ARCI Model Rules pertaining to toe grabs and other traction devices on front horse shoes in Thoroughbred racing.

**B. Riding Crop**

Regulators shall be petitioned to adopt the ARCI Model Rule *ARCI-010-035(E)(7)*, pertaining to the use of crops and the ARCI Model Rule *ARCI-010-035(A)(1)(a-b)*, pertaining to the specifications of crops to be utilized. So long as such rules have not been adopted in a racing jurisdiction, Members in such jurisdictions shall adopt and/or adhere to House Rules consistent with the ARCI Model Rule *ARCI-010-035(E)(7)*, relating to the use of crops and the ARCI Model Rule *ARCI-010-035(A)(1)(a-b)*, pertaining to the specifications of crops to be utilized.

**C. Safety Helmet and Safety Vest**

Regulators shall be petitioned to adopt the ARCI Model Rule *ARCI-008-010(Y)(1-2)*, pertaining to the wearing of Safety Helmets and Safety Vests, including modifications to the Model Rule based on any subsequent recommendations by the Jockeys' Guild. So long as such rule has not been adopted in a racing jurisdiction, Members in such jurisdictions shall adopt and/or adhere to a House Rule consistent with the ARCI Model Rule *ARCI-008-010(Y)(1-2)*, pertaining to the wearing of Safety Helmets and Safety Vests.

Any licensee must wear a properly secured Safety Helmet at all times when mounted on a horse or stable pony when racing, parading, or warming up a horse prior to racing; or jogging or exercising a horse at any time. The licensee is responsible for providing sufficient evidence that his/her helmet meets applicable safety standards.

Safety Vests, designed to provide shock absorption protection, must be worn at all times on association grounds by any licensee mounted on a horse or stable pony when racing, parading, or warming up a horse prior to racing; or jogging or exercising a horse at any time. Assistant Starters must also wear a safety vest while performing their job duties on track. The licensee is responsible for providing sufficient evidence that his/her safety vest meets applicable safety standards.

## **D. Safety Equipment**

### **1. Padded Starting Gate**

Regulators shall be petitioned to adopt the ARCI Model Rule *ARCI-007-020(F)(1)*, pertaining to padded starting gates. So long as such rule has not been adopted in any racing jurisdiction, Racetrack Members in such jurisdictions shall adopt a House Rule consistent with the ARCI Model Rule *ARCI-007-020(F)(1)*, relating to padded starting gates.

### **2. Equine Ambulance**

Regulators shall be petitioned to adopt the ARCI Model Rule *ARCI-007-020(I)(1-6)*, pertaining to the provision of a horse ambulance. So long as such rule has not been adopted in any racing jurisdiction, Racetrack Members in such jurisdictions shall adopt a House Rule consistent with the ARCI Model Rule *ARCI-007-020(I)(1-6)*, pertaining to the provision of a horse ambulance.

## **E. Safety Research**

Members shall participate in and/or fund industry safety research in areas including but not limited to racetrack surface studies, epidemiological studies, and other studies which are designed to promote a safer racing environment for humans and horses.

## **F. Safety Training and Continuing Education**

Racetrack Members shall provide periodic training to all racetrack employees having direct contact with the horse, including assistant starters concerning safe practices to be followed in the conduct of their jobs. All Members shall provide periodic training to their employees having direct contact with the horse concerning safe practices to be followed in the conduct of their jobs, e.g. Groom Elite Program, Groom Development Program, Racing Officials Accreditation Program, and the NTRA Track Superintendent Field Days.

Further, Racetrack Members shall adhere to the RCI Model Rule *ARCI 006-015* requiring accreditation of all stewards employed by the racetrack, and where necessary, shall petition regulators to adhere to RCI Model Rule *ARCI 006-015* requiring accreditation of all stewards employed by regulatory bodies.

Upon application for accreditation, Racetrack Member shall submit its Training and Continuing Education Plan.

## **G. Catastrophic Injury Planning and Procedures**

Racetrack Members shall plan for and have protocols in place for instances of catastrophic injury to horses during racing and training at Racetrack Members' racetrack(s) and training facilities. Such planning shall include, but not be limited to appropriate means of

communication to the public; either through the AAEP On-Call Program or AAEP trained spokespersons.

**3. Medication and Testing:** Without proper pre- and post-race testing and security procedures, horse health and safety can be compromised. The Alliance believes that the regulation of drugs and therapeutic medications be consistent on a nationwide basis to better facilitate the training and racing of horses in multiple states. Members shall therefore insist on the implementation of consistent rules and penalties regarding medication and testing as follows:

**A. Uniform Medication Rules and Penalties**

Members shall insist that local regulatory authorities regulate drugs and therapeutic medications consistent with ARCI Model Rules, *ARCI-011-010*, *ARCI-011-015*, and *ARCI 011-020* based on RMTC recommendations. Further, Members shall insist that local regulatory authorities adopt uniform minimum penalties consistent with ARCI Model Rules, *ARCI-011-020(B)*, based on RMTC recommendation. To the extent the regulatory authorities do not so regulate drugs and therapeutic medications, the Members shall advocate the adoption of such rules and penalties by the regulatory authority.

**B. Alkalinizing Substances**

Racetrack Member shall prohibit and test for the use of alkalinizing substances in the racing of Thoroughbreds, consistent with RMTC recommendations that establish uniform threshold levels, pre-race sampling protocols, and effective testing procedures to detect prohibited levels of carbon dioxide in Thoroughbred race horses. To the extent the regulatory authorities do not so regulate alkalinizing substances, the Members shall advocate the adoption of such rules by the regulatory authority. Upon application for accreditation, Racetrack Member shall submit its plan for prohibiting and testing for alkalinizing substances.

**C. Exogenous Steroids**

Racetrack Member shall prohibit the use of exogenous anabolic steroids in training and in competition in a manner consistent with the ARCI model rule *ARCI-011-020(J)*, based on RMTC recommendations. To the extent the regulatory authorities do not so regulate exogenous steroids, Members shall advocate the adoption of such rules by the regulatory authority.

**D. Shock Wave Therapy**

Member shall ensure that Extracorporeal Shock Wave Therapy be utilized in a manner consistent with the RCI Model Rule *ARCI-011-015 Section 5*. And to the extent the regulatory authorities do not so regulate Extracorporeal Shock Wave Therapy, the Member shall advocate the adoption of such rules by the regulatory authority.

## **E. Out of Competition Testing**

Members shall insist that local regulatory authorities institute out of competition testing for blood and/or gene doping agents in a manner consistent with the ARCI model rule *ARCI-011-022*, based on RMTTC recommendations. To the extent the regulatory authorities do not so regulate out of competition testing, Members shall advocate the adoption of such rules by the regulatory authority.

## **F. Frozen Sample Testing**

Members shall support and promote the participation by state racing commissions in the RMTTC program for the frozen storage and retrospective super testing of suspect horse racing plasma and/or urine samples.

## **G. Security Assessment and Training**

1. Racetrack Members shall participate in a security assessment performed by the Thoroughbred Racing and Protective Bureau or other qualified security assessment organization.

[RMTTC SECURITY CRITERIA TO BE PROVIDED]

2. Racetrack Member may be subject to random on-site inspection and assessment of medication and drug testing standards and protocols as established by RMTTC, to include, at a minimum, examination of test barn and chain of custody procedures.

In Phase II, Racetrack Members shall be required to submit a plan to the Alliance for implementing recommendations made as a result of the security assessment or assessment of medication and drug testing standards and protocols.

3. Racetrack Members shall require all security staff to periodically participate in a security training program conducted in conformity with training protocols to be provided by the Alliance.

**4. Safety and Health of Jockeys:** The health and safety of human athletes is one of the top priorities of the Alliance. Members must take affirmative steps to assure the public and participants that all human athletes are competing at top form with the benefit of the best medical care readily available. Consequently, Members are required as follows:

### **A. Jockey Weights**

Members shall adhere to the RCI Model Rule *ARCI 0010-035, Section C* regarding the equipment included when weighing jockeys.

## **B. Jockey Health Information**

Members, through cooperative effort with The Jockey's Guild, shall advocate participation by members of their jockey colony in the InCompass Solutions' Jockey Health Information System, which allows confidential access to a rider's detailed medical records by authorized medical personnel.

## **C. Ambulance Support**

Racetrack Member shall adhere to the RCI Model Rule *ARCI 007-020 (A) (6), (8) and (9)* regarding a properly equipped and staffed ambulance on the racetrack during training and racing hours.

**5. Aftercare and Transition of Retired Racehorses:** In support of horse owners, the Alliance and the horseracing industry as a whole share in the responsibility for providing care and/or retraining of racehorses after they can no longer compete on the racetrack

Racetrack Members shall affiliate with and provide funding for recognized placement/adoption program(s) that meet AAEP criteria. Member Tracks shall help facilitate the transfer of horses to its affiliated recognized placement/adoption program(s) by doing such things as: Providing owners and trainers with contact information for recognized placement/adoption program(s); promoting placement/adoption program(s); cooperating with state funded programs; providing stalls and/or staff to help facilitate the transfer of horses to affiliated recognized placement/adoption facilities; or other means intended to assist with the placement of horses in transition. Racetrack Members are encouraged to implement a funding strategy that imposes the costs of funding on owners of horses through mutually agreed upon methods such as per start fees or purse check-off programs.

## **III. Adherence and Enforcement**

### **A. Compliance Program**

Members shall implement an effective compliance program to ensure adherence to this Code. The Alliance shall develop a guidance document for use by Members to assist them in their program development. Implementation of an effective compliance program consistent with Alliance guidance shall be required for accreditation.

### **B. Condition for Accreditation**

Members shall adhere to this Code including any house rule promulgated and implemented pursuant to this Code as a condition for maintaining Alliance accreditation.

Members shall be subject to periodic audit and/or review at Member's expense (but such expense to be agreed to by the Alliance and Member in advance) by the Alliance (or its designee) for purposes of certifying the Member's accreditation status under the Alliance.

### **C. Enforcement**

Members satisfying substantially all conditions for certification shall receive full accreditation for a period of twenty-four (24) months, provided Member continues to adhere to Alliance standards during that time period. Members satisfying substantially all conditions for certification except for specifically identified standards may receive provisional accreditation for a period of twenty-four (24) months provided Member satisfies unmet conditions in a specified timeframe and further adheres to all other Alliance standards during that time period. Should a full or provisionally accredited Member be found to be in breach of Alliance standards, such Member may be entitled to a probationary accreditation subject to curing the deficiency or deficiencies in a specified time frame. Any Member who has been found to have materially breached this Code may have its accreditation revoked by the Alliance after notice of and reasonable opportunity to cure such breach. Further, the Alliance may publish on its website the names and accreditation status of all Members.