



Equine Veterinarians Australia

Australian Rules of Racing relevant to veterinarians

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Relevant Rules of Racing for Private Practice and Official Race Day Veterinarians: Version 01.06.2015

Veterinarians should ensure that they are thoroughly familiar with the Rules of Racing whether acting in the capacity of official race day veterinarian or a private treating veterinarian. The following document has been produced to assist veterinarians in accessing the Racing Rules relevant to their profession. It should be noted that Rules may be updated or amended from time to time and is the responsibility of the Veterinarian to keep up to date with any changes. The most complete and up to date version of the Australian Rules of Racing can be found at <http://www.australianracingboard.com.au>

Definitions and Powers

1.1 The Definitions Pertaining to Veterinarians

AR 1

‘Anabolic Androgenic Steroid Clearing Certificate’ means a certificate from an Official Racing Laboratory stating that a sample (taken under the supervision of the Stewards or other official appointed by the Principal Racing Authority to do so) is free of anabolic androgenic steroids or that any anabolic androgenic steroids that are present are at or below the relevant concentrations set out in AR 178C(1) [added 1/11/13].

‘Clear Day’ means a 24 hour period from 12.01am to 12 midnight.

‘Cruelty’ includes any act or omission as a consequence of which a horse is mistreated. [added 1/2/01]

‘Horse handler’ means any licensed person who handles any horse at any meetings, trial, jump out or in training and includes but is not limited to stable hands, trainers, veterinarians, farriers and barrier attendants.

[added 1.7.14][amended 1.4.15]

‘Medication’ means any treatment with drugs or other substances. [added 3/2/03]

‘Official Racing Laboratory’ means an analytical racing laboratory that is accredited by the National Association of Testing Authorities or by a similar authority in an overseas country, and is approved by the Australian Racing Board and published in the Racing Calendar [amended 30/4/03].

Note: The following have been approved by the Australian Racing Board:

Australian Racing Forensic Laboratory, Sydney

Queensland Government Racing Science Centre, Brisbane

Racing Analytical Services Limited, Melbourne

Racing Chemistry Laboratory, Chemistry Centre (W.A.), Perth

The Hong Kong Jockey Club Racing Laboratory, Sha Tin, Hong Kong

New Zealand Racing Laboratory Services Limited, Avondale, Auckland, New Zealand

Sport and Specialised Analytical Services, LGC, Fordham, Ely, Cambridgeshire, United Kingdom

Australian Sports Drug Testing Laboratory, Sydney

ChemCentre, Western Australia

National Measurement Institute (NMI), Sydney (trace element analysis)

Institute of Biochemistry, German Sport University, Cologne, Germany

[amended 1/10/12, 11/6/14, 11/9/14, 30/3/15].

‘Participant in racing’ includes:

(b) any person employed by a trainer in connection with the training or care of horses

(f) any person who provides a service or services connected with the keeping, training or racing of a horse.

[definition added 19.10.06]

'Prohibited Substance' means a substance declared by these Rules to be a prohibited substance, or which falls within any of the groups of substances declared by these Rules to be prohibited substances unless it is specifically excepted.

'Screening Limit' means the concentration of a therapeutic substance or its specified metabolite present in a sample during a screening test or analysis as specified in AR 178EA(2), above which the therapeutic substance will be notified as a prohibited substance. *[added 1/10/12]*

'Therapeutic Substance' means a prohibited substance to which a screening limit applies, and which is promulgated as such from time to time by the Australian Racing Board and published in the Racing Calendar. *[added 1/10/12]*

1.2 Race Day Officials are Bound by the Rules of Racing

AR 2

Any person who takes part in any matter coming within these Rules thereby agrees with the Australian Racing Board and each and every Principal Racing Authority to be bound by them. *[amended 1.8.03]*

1.3 Powers of the Racing Authority

AR 7

A Principal Racing Authority shall, in furtherance and not in limitation of all powers conferred on it or implied by these Rules, have power, in its discretion: *[amended 1.1.15]*

- (ii) have the control and general supervision of racing within its territory;
- (iii) in furtherance and not in limitation of all powers conferred on it or implied by these Rules, have power, in its discretion:-
 - (a) To hear and decide appeals as provided for in its Rules or by law.
 - (b) To license jockeys, trainers and others on such terms and conditions as it shall think fit, and at any time to suspend, vary or revoke any such licence without giving any reason therefor.
 - (c) To inquire into and deal with any matter relating to racing and to refer and/or delegate any such matter to stewards or others for investigation and report and/or for hearing and determination and, without prejudice to the generality of the foregoing power, to inquire at any time into the running of any horse upon any course or courses, whether a report concerning the same has been made or decision arrived at by any Stewards or not. *[amended 1.10.06]*
 - (d) To penalise:- *[amended 1.9.09]*
 - (i) any person contravening the Rules or disobeying any proper direction of any official, or
 - (ii) any licensed person or official whose conduct or negligence in the performance of his duties has led, or could have led, to a breach of the Rules.
 - (e) At any time to exercise any power conferred on Stewards by the Rules.
 - (f) To confirm, adopt or enforce any penalty imposed upon any person by the Committee or Stewards of any Club in the Commonwealth. *[amended 1.9.90]*
 - (g) To make reciprocal arrangements with any Club for the recognition or enforcement of each other's penalties.
 - (i) To annul or mitigate any penalty incurred within its territory.
 - (s) To investigate alleged breaches of a Code of Practice published by the Australian Racing Board and to warn-off or penalise any person it finds to have committed a breach of such a Code of Practice." *[AR.7 replaced 19.3.09]*
 - (u) If in the opinion of a Principal Racing Authority a thoroughbred horse selling agent or organisation has in place satisfactory arrangements (including as between a buyer and seller of a horse) for taking samples from horses at horse sales for the purpose of testing for anabolic androgenic steroids, to officially approve as a "Principal Racing Authority approved vet" (which approval can be withdrawn at the discretion of a Principal Racing Authority) a veterinary surgeon employed, engaged or authorised by a selling agent, to take a sample from a horse for that purpose; *[added 1.1.15]*

- (v) To declare either before or after a sample is taken by a PRA approved vet pursuant to AR.7(u) that the sample is to be treated as a sample for the purpose of these Rules. *[added 1.1.15]*

AR 7A

Without limiting in any way the powers of the Principal Racing Authority under these Rules, the Principal Racing Authority may in its absolute discretion in respect of any person who has been warned-off or who is or has been subject to any suspension or disqualification or embargo imposed by a committee or stewards of any racing or harness racing or greyhound racing club, racing authority or racing appeals tribunal in Australia or in any other country –

- (a) refuse to grant any licence or permit to, or to register, any such person under these Rules, or
(b) warn-off, suspend or disqualify or place a like embargo on any such person under these Rules.

[rule added 1.8.99][amended 30.4.03]

1.4 Powers of the Stewards

AR 8

To assist in the control of racing, Stewards shall be appointed according to the Rules of the respective Principal Racing Authorities, with the following powers:-

- (a) To make, alter or vary all or any of the arrangements for conduct of any race meeting under their control
- (b) To require and obtain production and take possession of any mobile phones, computers, electronic devices, books, documents and records, including any telephone or financial records relating to any meeting or inquiry. *[amended 20.11.02][amended 1.3.05]*
- (c) To enter upon and control all lands, booths, buildings, stands, enclosures, and other places used for the purposes of the meeting, and to expel or exclude any person from the same.
- (d) To regulate and control, inquire into and adjudicate upon the conduct of all officials and licensed persons, persons attendant on or connected with a horse and all other persons attending a racecourse. *[amended 20/11/02, 1/9/09]*
- (e) To penalise any person committing a breach of the Rules. *[amended 20.11.02][amended 1.9.09]*
- (g) To order the examination of any horse for the purpose of ascertaining its age or identity, or for any other purpose connected with the Rules.
- (j) To take or cause to be taken any sample from any horse and to make or cause to be made any test to determine whether any prohibited substance is present in the system of the horse. *[paragraph replaced 20.11.02]*
- (jjj) To take or cause to be taken any sample from any horse handler either prior to or after handling any horse at any race meeting, official trial, jump out or in training, provided that this power may only be exercised where a Steward reasonably suspects that a horse handler is affected by a substance banned by AR.81BB. Reasonably suspects means suspects on grounds which are reasonable in the circumstances. *[added 1.7.14]*
- (k) (i) To take possession on the course or elsewhere of any horse, whether dead or alive, and to detain and/or remove such horse in order to have conducted whatever tests and/or examinations as they consider necessary. *[amended 1/12/05]*
- (ii) On any course (whether a race meeting is being conducted thereon or not) to search any licensed person or any gear or equipment used by or about to be used by him and to take possession of any article or thing found as a result of such search which the Steward or Stewards making such search believe could afford evidence of a breach of or an offence under these Rules.
- (z) Notwithstanding anything contained within these Rules, and not in limitation of any power conferred by these Rules, where a person has been charged with a breach of these Rules (or a local rule of a Principal Racing Authority) or a person has been charged with the commission of an indictable criminal offence, the Stewards pursuant to the authority delegated by the Principal Racing Authority, if of the opinion that the continued participation of that person in racing might pose an unacceptable risk to, prejudice or undermine the image, interests or integrity of racing, may:
- (a) suspend any licence, registration, right, or privilege granted under these Rules to that person;

- (b) prevent any horse owned (or part-owned) or leased by that person from participating in any race or official trial;
- (d) make any other direction or order related to the person which is in the interests of racing, pending the hearing and determination of the charge under these Rules, the relevant local rule or the relevant criminal charge. *[subrule added 1.10.13]*

AR 8B

The Stewards shall have the power at any time to enter upon the premises occupied by or under the control of a licensed person and used in any manner in relation to any licence (hereinafter referred to as the premises) to:

- (i) Inspect, observe and search the premises and also search any licensed person thereon. *[amended 1/10/07]*
- (ii) Examine any horse, take possession thereof and cause such horse to be:
 - (a) removed from the premises and detained; or
 - (b) confined to, or otherwise detained at, or within, the premises for such period and on such terms and for such purposes as they consider necessary. *[(b) replaced 20/11/02]*
- (iii) Examine the premises and any article or thing situated thereon and take possession of any article or thing found as the result of such search and remove from the premises any article or thing of which possession has been taken and retain the same for such period as stewards consider necessary under these rules.

Provided that the onus of proof that the premises are not being used in any manner relating to any licence shall be upon the licensed person who has the occupation or control of the premises and the use thereof.

Note: Rule applicable to veterinarians licensed with Racing NSW

AR 8C

Stewards entering on the premises under the provisions of Rule 8B shall have the right to take thereto such persons, articles and things as they consider necessary to exercise the powers laid down by that Rule and to carry out their duties as stewards.

Note: Rule applicable to veterinarians licensed with Racing NSW

AR 8E

- (2) Any licensed person, owner or any other person engaged in or associated with racing who, whilst the investigators are exercising such powers, duties and authorities, refuses to obey any reasonable direction of investigators or obstructs, hinders or delays investigators in exercising such powers or carrying out their duties, or incites any other person or persons to obstruct, hinder or delay investigators from exercising such powers or carrying out their duties, may be penalised. *[added 1.2.14]*

Physical Disabilities and Unfitness to Race

It is important for racing safety and the welfare of racehorses that horses participating in a race are fit, healthy and properly conditioned to race.

2.1 Ineligibility to Race Due to Unfitness

AR 64D

If at any time the Stewards have reason to doubt the fitness of any horse to race they may declare such horse ineligible to race until such time as its fitness is established by such trial or test or examination as they may specify. *[rule added 1.11.99]*

In addition to conditions that require clinical judgment calls, there are a number of conditions or recent treatment procedures that are specifically prohibited by the Rules.

2.2 Aged Horses

AR 45B

- (1) Subject to AR 45B(2), a horse that is aged 12 years is not permitted to race.
- (2) The Stewards may give their express permission for a horse aged 12 to start in a race or races during its 12 year old racing season, if:
 - (a) the trainer provides to the Stewards a veterinary report in respect of the horse's condition and suitability to race, and any other information, examination or report as required by the Stewards; and
 - (b) the Stewards are satisfied that the horse is suitable to race.
- (3) Any permission granted by the Stewards pursuant to AR 45B(2) expires at the conclusion of the horse's 12 year old racing season, or earlier as provided by the Stewards.
- (4) Upon a horse turning 13 years of age, it is immediately retired and de-registered under these Rules and is ineligible to race, trial or be trained.
- (5) If a horse aged 12 participates in any race without permission given by the Stewards in accordance with this rule or if a horse over 12 years participates in a race:
 - (a) the trainer and any other relevant person may be penalised; and/or
 - (b) the horse may be disqualified for the relevant race.

[AR 45B deleted and replaced 1/08/15]

2.3 Exercise Induced Pulmonary Haemorrhage (Bleeding)

AR 53A

- (1) An attack of bleeding shall be the appearance of blood at both nostrils, irrespective of quantity, unless in the opinion of the Stewards such bleeding was caused by external trauma.
- (2) If a horse suffers an attack of bleeding at any time the fact of such bleeding shall be reported by the Trainer without delay to the Stewards.
- (3) If any Principal Racing Authority advises in writing that any horse has suffered an attack or attacks of bleeding such advice shall be prima facie evidence that such horse has suffered an attack or attacks of bleeding.
- (4) A horse which has in the opinion of the Stewards suffered an attack of bleeding shall not without permission of the Stewards -
 - (a) be trained, exercised or galloped on any racecourse for a period of two months thereafter;
 - (b) start in any race for a period of three months, and then only after a satisfactory gallop of at least 1,000 metres in the presence of a Steward.
- (5) If a horse suffers more than one attack of bleeding such horse shall be ineligible to start in any race.
- (6) If a horse displays blood at one nostril, the trainer shall without delay report such occurrence to the Stewards.
- (7) Unless the Stewards are satisfied that the presence of blood provided for in subrule (6) was attributable to external trauma, the horse shall before racing again be required to undergo a satisfactory gallop of at least 1,000 metres in the presence of a Steward.

2.4 Blindness

AR 64A

- (1) A horse that is totally blind in one eye is ineligible for any race, official trial, jump-out or track work.

[amended 1.9.09]
- (2) A horse that has partially impaired vision is ineligible for any race, official trial, jump-out or track work unless the Stewards are satisfied on specialist veterinary evidence that the impairment does not constitute a danger to such horse or other participants in a race, official trial, jump-out or track work.

[amended 1.9.09]
- (3) In the event of a horse being suspected of being blind or having impaired vision the owner of the horse or his agent shall as soon as practicable notify the Stewards, who shall then ensure that –
 - (a) details of the horse's impaired vision and any related embargo are recorded in the National Stewards Embargo Register; and,
 - (b) if applicable, details of the horse's impaired vision and any related embargo are recorded and are certified by the relevant veterinary surgeon on its Document of Description.

- (4) Any person who, in contravention of subrules (1) or (2) of this rule, enters or runs a horse in a race, official trial, or jump-out or permits a horse to engage in track work, or fails to notify the Stewards as required by subrule (3), commits a breach of these Rules unless he proves to the satisfaction of the Stewards that he was not aware, and should not reasonably have been aware, that the horse has the blindness or impaired vision specified in this rule. *[replaced 1.11.99][replaced 1.7.05]*

2.5 Neurectomies

AR 64B

- (1) A horse that has had a limb neurectomy or any artificial form of permanent limb desensitisation is ineligible for any race, official trial, jump-out or track work. *[amended 1.9.09]*
- (2) A horse that has had any artificial form of temporary limb desensitisation is ineligible for any race, official trial, jump-out or to participate in track work for such time as the Stewards may specify. *[amended 1.9.09]*
- (3) Notwithstanding the provisions of subrule (1) of this rule, a horse that had a palmar digital neurectomy prior to 1st September 1999 is eligible to race provided that prior to 1st September 1999 the details of the surgery undergone have been endorsed on the Document of Description for the horse, and the Stewards have received and accepted from a qualified veterinarian a written certificate of fitness of the horse to race.
- (4) In the event of a horse undergoing neurectomy surgery or any artificial form of permanent limb desensitisation the owner of the horse or his agent shall as soon as practicable notify the details to the Stewards, who shall then ensure that:
- (a) details of the surgery or artificial desensitisation and the horse's ineligibility to race are recorded in the National Stewards Embargo Register; and,
 - (b) if applicable, the Document of Description for the horse is endorsed with details of the surgery or artificial desensitisation and the horse's ineligibility to race.
- [rule deleted & replaced 1.10.99][subrule (3) amended 1.7.05][subrules (1), (2) & (4) amended 14.6.07]*

2.6 Tracheostomy

AR 64C

A horse which has had a tracheostomy, with or without a tracheotomy tube inserted, is ineligible for any race, official trial, jump-out or to participate in track work..

[rule added 17.6.98] [amended 1.9.09]

2.7 Pregnancy

AR 64E

- (1) No mare or filly shall race or take part in any official trial, jump-out or track work after day 120 of its pregnancy. *[amended 1.9.09]*
- (2) A trainer shall notify the Stewards in writing as soon as practicable –
- (a) the pregnancy of any mare or filly in his charge; and
 - (b) the date of last service of such mare or filly. *[rule added 1.11.99][para (b) amended 1.6.04]*

2.8 Firing

AR 64F

- (1) A horse that has been subjected to a firing procedure in Australia is ineligible for any race, official trial, jump-out or track work. *[amended 1.10.01] [amended 1.9.09]*
- (2) Notwithstanding the provisions of subrule (1) of this rule, a horse that was subjected to a firing procedure prior to 1st October 2001 is eligible to race provided that prior to 1st October 2001 it was inspected by the Stewards and the *Document of Description* for the horse was endorsed with the details of such firing.
- (3) In the event of a horse being subjected to a firing procedure the owner of the horse or his agent shall as soon as practicable notify the Stewards, who shall then ensure that –
- (a) details of the procedure and the horse's ineligibility to race are recorded in the National Stewards Embargo Register; and,

- (b) if applicable, the *Document of Description* of the horse is endorsed with details of the procedure and the horse's ineligibility to race.

[rule added 1.10.01][subrule (3) amended 1.7.05]

2.9 Stomach Tube

AR 64G

(1) A horse which is engaged to run in any race, official trial or jump-out must not be stomach-tubed without the permission of the Stewards:

(a) at any time on the day of the scheduled race, official trial or jump-out and prior to the start of such event; and

(b) at any time during the one Clear Day prior to 12:01am on the day of the scheduled race, official trial, or jump-out.

(2) Any person who, without the permission of the Stewards:

(a) stomach-tubes a horse;

(b) attempts to stomach-tube a horse;

(c) causes a horse to be stomach-tubed or

(d) is a party to the stomach-tubing of a horse, or an attempt to stomach-tube a horse, contrary to this rule, commits an offence and may be penalised.

(3) Where the Stewards are satisfied that a horse has, or is likely to have been, stomach-tubed contrary to the provisions of this rule, the Stewards may prevent the horse from starting in any relevant race, official trial or jump-out.

(4) Where a horse has been stomach-tubed contrary to this rule, the horse may be disqualified from any relevant race in which the horse competed.

(5) For the purpose of this rule, "stomach-tubed" and variations of that term means any application to a horse of a naso-gastric tube.

[added 1.9.01] [amended 1.9.09] [deleted and replaced 1.3.13][deleted and replaced 1.9.13][deleted and replaced 1.2.15]

2.10 Shockwave

AR 64H

A horse that has been subjected to any form of shockwave therapy shall not be eligible to participate in any race or trial for seven clear days excluding the day of treatment and day of race or trial following such therapy.

[added 1.6.04] [replaced 01.01.13]

2.11 Intra-articular Corticosteroid

AR 64M

A horse that has been subjected to an intra-articular administration of a corticosteroid preparation, whether the preparation is administered alone or in combination with other preparations, is ineligible to participate in any race, official trial or jump-out at any time during the 8 Clear Days (as defined in AR.1) following midnight on the day of the administration.

Note: For the purpose of AR.64M and by way of example, if a horse was subjected to an intra-articular administration at any time on a Monday (1st day of month), that horse would be ineligible to race until the Wednesday in the following week (10th day of month).

[added 1.8.14]

2.12 Seven Clear Day Rule for Vaccinations

64N

(1) A trainer must not enter or permit a horse that has been vaccinated against, including but not limited to, equine herpesvirus 1 and 4, equine influenza, Hendra virus, strangles or tetanus, to participate in any race, official trial or jump-out during the seven clear days (as defined in AR.1) following midnight on the day the vaccination was administered.

(2) A trainer must ensure a record of any administration of a vaccine is included in the trainer's record of treatment for such horse in accordance with the requirements of AR.178(F)(1).

(3) Where a horse has been administered a vaccine, or the Stewards reasonably suspect that a horse has been administered a vaccine, during the seven clear days prior to the day of a race, official trial or jump-out, the Stewards may order the withdrawal of the horse from the relevant race, official trial or jump-out.

(4) Any trainer who breaches AR.64N(1) or AR.64N(2) may be penalised.

Note: For the purpose of AR.64N and by way of example, if a horse was subjected to a vaccine administration at any time on a Monday (1st day of month), that horse would be ineligible to race until the Tuesday in the following week (9th day of month)."

[added 1 August, 2016]

2.13 Race Day Medication

AR 178E

- (1) Notwithstanding the provisions of AR.178C(2), no person without the permission of the Stewards may administer or cause to be administered any medication to a horse on race day prior to such horse running in a race.
- (2) The Stewards may order the withdrawal from a race engagement any horse that has received medication in contravention of subrule (1) of this rule. *[RuleAR189A added 3.2.03][renumbered 1.8.04]*

AR 178A

- (1) No person, unless he has first obtained the written permission of the Stewards, shall have in his possession on a racecourse where a race meeting is being conducted or in any motor vehicle, horse float or other mode of transport being used for the purpose of conveying a horse or horses to and/or from a race meeting any prohibited substance or a syringe, needle, nasogastric tube or other instrument that could be used –
 - (a) to administer a prohibited substance to a horse; or
 - (b) to produce a prohibited substance in a horse.
- (2) The Stewards may at their complete discretion grant written permission for a person to have in his possession on a racecourse where a race meeting is being conducted or in any motor vehicle or horse float being used for the purpose of conveying a horse or horses to and/or from a race meeting any prohibited substance or a syringe, needle, naso-gastric tube or other instrument that could be used –
 - (c) to administer a prohibited substance to a horse; or
 - (d) to produce a prohibited substance in a horse.

The Stewards may impose terms or conditions on a permission granted under this subrule.

- (3) A person who fails to comply with subrule (1) or with a term or condition imposed under subrule (2) is guilty of an offence, and any substances or items concerned may be confiscated. *[replaced 1.9.09]*

Prohibited substances

3.1 Injecting of horses

AR.178AB Injecting of horses - One Clear Day Rule

- (1) A person must not, without the permission of the Stewards, inject a horse, cause a horse to be injected or attempt to inject a horse, which is engaged to run in any race:
 - (a) at any time on the day of the scheduled race, prior to the start of such event; and
 - (b) at any time during the One Clear Day prior to 12.01am on the day of the scheduled race.
- (2) Where there has been a breach of AR.178AB(1), or the Stewards reasonably suspect that there has been a breach of AR.178AB(1), the Stewards may order the withdrawal of the horse from the relevant race.
- (3) Where there has been a contravention of AR.178AB(1), the horse may be disqualified from the relevant race in which it competed.
- (4) Any person who breaches, or is a party to a breach of, AR.178AB(1), commits an offence and may be penalised.
- (5) For the purpose of this rule:
 - (a) injection includes, but is not limited to, the insertion of a hypodermic needle into a horse;
 - (b) it is not necessary to establish whether any substance was injected, or the nature of any substance injected."

[Date of Effect: 1 October, 2015]

3.2 Treatment records

AR 178F

- (1) A trainer must record treatment and medication administered to each horse in his or her care by midnight on the day on which the administration was given, and each record must include the following information:
 - (a) the name of the horse;
 - (b) the date and time of administration of the treatment or medication;
 - (c) the name of the treatment or medication administered (brand name or active constituent);
 - (d) the route of administration including by injection, stomach tube, paste, topical application or inhalation);
 - (e) the amount of medication given (if applicable);
 - (f) the duration of a treatment (if applicable);
 - (g) the name and signature of person or persons administering and/or authorizing the administration of the treatment or medication.

- (2) For the purposes of this rule:
 - (a) "treatment" includes:
 - (i) shock wave therapy;
 - (ii) acupuncture (including laser treatment);
 - (iii) chiropractic treatment;
 - (iv) the use of any electrical stimulation device (including transcutaneous electrical nerve stimulation (TENS));
 - (v) magnetic field therapy;
 - (vi) ultrasound;
 - (vii) any form of oxygen therapy, including hyperbaric oxygen therapy; and
 - (b) "medication" includes:
 - (i) all Controlled Drugs (Schedule 8) administered by a veterinarian;
 - (ii) all Prescription Animal Remedies (Schedule 4), including those listed in AR.178C(2);
 - (iii) all Prescription Only Medicines (Schedule 4), prescribed and/or dispensed by a veterinarian for off-label use;
 - (iv) all injectable veterinary medicines (intravenous, intramuscular, subcutaneous, intra-articular) not already included above;
 - (v) all Pharmacist Only (Schedule 3) and Pharmacy Only (Schedule 2) medicines; (vi) all veterinary and other medicines containing other scheduled and unscheduled prohibited substances;
 - (vii) all alkalinising agents;
 - (viii) all herbal preparations.

- (3) All records required to be kept in accordance with this AR.178F must be retained by the trainer for not less than two years.

- (4) When requested, a trainer must make available to the Stewards the record of any administration of a treatment and/or medication required by sub-rule (1).

- (5) A trainer who fails to comply with any provision of AR.178F commits a breach of this Rule and may be penalised. *[rule added 1.9.09][subrule deleted & replaced 1.9.13][rule deleted & replaced 1.1.15]*

3.3 Possession of Substances or Medications

AR 80E

- (1) Any person commits an offence if he has in his possession or on his premises any substance or preparation that has not been registered or labelled, or prescribed, dispensed or obtained, in compliance with the relevant State or Commonwealth legislation.
- (2) The Stewards may take possession of any substance or preparation mentioned in sub-rule (1), and may use it as evidence in any relevant proceedings.

[AR 80E adopted 1/12/05]

3.4 Testing for Prohibited Substances

AR 177A

When a horse is brought to a racecourse or recognised training track to engage in either –

- (a) an official trial,
- (b) a jump-out, or
- (c) any other test –

for the purpose of obtaining a permit to start in a race (whether after suspension or otherwise) and a prohibited substance is detected in any sample taken from it prior to or following such engagement, the trainer and any other person who was in charge of the horse at any relevant time may be penalised.

[replaced 1.10.02][amended 1.10.07]

3.5 Prohibited Substances in Horses

AR 177B

- (1) When a sample taken at any time from a horse being trained by a licensed person has detected in it any prohibited substance specified in sub-rule (2):
- (a) The trainer and any other person who was in charge of such horse at the relevant time may be penalised unless he satisfies the Stewards that he had taken all proper precautions to prevent the administration of such prohibited substance.
 - (b) The horse may be disqualified from any race in which it has competed subsequent to the taking of such a sample where, in the opinion of the Stewards, the prohibited substance was likely to have had any direct and/or indirect effect on the horse at the time of the race. [amended 1.9.09][amended 1.6.11]
- (2) For the purposes of subrule (1), the following substances are specified as prohibited substances:-
- (a) erythropoiesis-stimulating agents, including but not limited to erythropoietin (EPO), epoetin alfa, epoetin beta, darbepoetin alfa, and methoxy polyethylene glycol-epoetin beta (*Mircera*),
 - (b) insulins,
 - (c) growth hormones,
 - (d) insulin-like growth factor-1,
 - (e) substances listed in Schedule 8 and Schedule 9 of the *Standard for the Uniform Scheduling of Medicines and Poisons* contained in the *Australian Poisons Standard*,
 - (f) selective androgen receptor modulators (SARMS),
 - (g) selective estrogen receptor modulators (SERMS),
 - (h) selective opiate receptor modulators (SORMS),
 - (i) peroxisome proliferator activated receptor δ (PPAR δ) agonists, including but not limited to GW 1516,
 - (j) AMPK activators, including but not limited to AICAR (5-amino-1- β -D-ribofuranosyl-imidazole-4-carboxamide),
 - (k) other agents that directly or indirectly affect or manipulate gene expression,
 - (l) hypoxia inducible factor (HIF)-1 stabilisers, including but not limited to ITPP (myo-inositol trispyrophosphate), and hypoxia inducible factor (HIF) activators, including but not limited to xenon and argon, [amended 1.5.15]
 - (m) agents modifying myostatin function, including but not limited to myostatin inhibitors,
 - (n) oxygen carriers including but not limited to perfluorochemicals, efaproxiral and modified haemoglobin products,
 - (o) thymosin beta,
 - (p) venoms of any species or derivatives thereof,
 - (q) synthetic proteins and peptides and synthetic analogues of endogenous proteins and peptides not registered for medical or veterinary use,
 - (r) anabolic androgenic steroids (other than an anabolic androgenic steroid which is present at or below the relevant concentrations set out in AR.178C(1)),
 - (s) metabolites, artifacts and isomers of any of the substances specified in paragraphs (a) to (r). [amended 10.8.06][amended 1.11.12][amended 1.12.12][amended 1.11.13]
- (3) The Australian Racing Board may determine at any time any addition to this list of substances in subrule (2) and publish such additions in the *Racing Calendar*. [added 1.6.11][amended 1.11.12]
- (4) The substances bufotenine, butorphanol, 3-(2-dimethylaminoethyl)-4-hydroxyindole, N,N-dimethyltryptamine, ketamine, methadone, morphine, pethidine and quinalbarbitone, and their

metabolites, artifacts and isomers, are excepted from the provisions of this Rule, but would be specified as prohibited substances for the purposes of AR.175(h), AR.177, AR.177A, AR.178 and AR.178A.

[added 1.6.11][amended 1.11.12]

- (5) If any substance or preparation that could give rise to an offence under this rule if administered to a horse at any time is found at any time at any premises used in relation to the training or racing of horses then any owner, trainer or person who owns, trains or races or is in charge of horses at those premises is deemed to have the substance or preparation in their possession and such person shall be guilty of an offence and liable to penalty. *[added 1.11.12]*
- (6) Any person who, in the opinion of the Stewards, administers, attempts to administer, causes to be administered or is a party to the administration of, any prohibited substance specified in subrule (2) to a horse being trained by a licensed trainer must be penalised in accordance with AR.196(5). *[added 1.3.13]*

3.6 Testosterone

AR 177C, AR.178G

Note: AR177C, AR178G are identical in their wording and for the purposes of this document will be presented together.

In the case of the presence of testosterone (including both free testosterone and testosterone liberated from its conjugates) above a mass concentration of 20 micrograms per litre being detected in a urine sample taken from a gelding, or above a mass concentration of 55 micrograms per litre being detected in a urine sample taken from a filly or mare, prior to or following its running in any race, it is open to the Stewards to find that the provisions of AR.177 or AR.178H do not apply if on the basis of the scientific and analytical evidence available to them they are satisfied that the detected level in the sample was of endogenous origin or as a result of endogenous activity. *[added 01.10.12][replaced*

1.11.13][replaced 1.2.15]

3.7 Alkalisising Agents

AR 178AA

- (1) A person must not administer an alkalinising agent, in any manner, to a horse which is engaged to run in any race, official trial or jump-out:
- (a) at any time on the day of the scheduled race, official trial or jump out and prior to the start of such event; and
 - (b) at any time during the one Clear Day prior to 12.01am on the day of the scheduled race, official trial, or jump out.
- (2) Any person who:
- (a) administers an alkalinising agent;
 - (b) attempts to administer an alkalinising agent;
 - (c) causes an alkalinising agent to be administered; and/or
 - (d) is a party to the administration of, or an attempt to administer, an alkalinising agent, contrary to AR.178AA(1) commits an offence and may be penalised.
- (5) For the purposes of AR.178AA, "alkalinising agent":
- (a) means any substance that may elevate the plasma total carbon dioxide (TCO₂) of a horse when administered by any route;
 - (b) includes but is not limited to substances that are bicarbonates, citrates, succinates, acetates, propionates, maleates, lactates and trometamol (THAM, Tris Buffer or Trometamine) and also include products marketed as urinary alkalinisers and hind gut buffers;
 - (c) does not include substances:
 - (i) that are alkalinising agents which are contained in commercial feeds and/or balanced commercial electrolyte supplements which when fed and consumed according to the manufacturers' recommendations for normal daily use, which stewards are satisfied have a negligible effect on plasma TCO₂; and
 - (ii) provided that any exemption from the definition of alkalinising agent granted under this rule does not constitute a defence to a charge laid against a person following the detection by an Official Racing Laboratory of a TCO₂ concentration in a horse in excess of the threshold prescribed by AR.178C(1)(a).

Note: In VIC- Administration of Intravenous Drips

Routine intravenous fluid replacement therapy and vitamin / amino acid preparations such as 'Duphalyte', 'Aminolyte', Normal Saline, Lang's Solution and Potassium supplements will continue to be controlled by AR 178 F and will be permitted up to 12 00 midnight on the day prior to racing.

Obviously concentrated sodium bicarbonate solutions may not be administered by intravenous infusion. [New Rule 1.9.13]

3.8 Prohibited Substances Categories

AR 178B

The following substances are declared as prohibited substances:-

(1) Substances capable at any time of causing either directly or indirectly an action or effect, or both an action and effect, within one or more of the following mammalian body systems:-

the nervous system	the endocrine system
the cardiovascular system	the urinary system
the respiratory system	the reproductive system
the digestive system	the blood system
the musculo-skeletal system	the immune system

[amended 1.6.11]

(2) Substances falling within, but not limited to, the following categories:-

acidifying agents	bronchospasm relaxants
adrenergic blocking agents	buffering agents
adrenergic stimulants	central nervous system stimulants
agents affecting calcium and bone metabolism	cholinergic agents
alcohols	corticosteroids
alkalinising agents	depressants
anabolic agents	diuretics
	erectile dysfunction agents
anaesthetic agents	fibrinolytic agents
analgesics	haematopoietic agents
antiangina agents	haemostatic agents
antianxiety agents	hormones (including trophic hormones) and their synthetic counterparts
antiarrhythmic agents	hypnotics
anticholinergic agents	hypoglycaemic agents
anticoagulants	hypolipidaemic agents
anticonvulsants	immunomodifiers
	masking agents
antidepressants	muscle relaxants
antiemetics	narcotic analgesics
antifibrinolytic agents	neuromuscular agents
antihistamines	plasma volume expanders
antihypertensive agents	respiratory stimulants
anti-inflammatory agents	sedatives
antinauseants	stimulants
antineoplastic agents	sympathomimetic amines
antipsychotic agents	tranquillisers
antipyretics	vasodilators
antirheumatoid agents	vasopressor agents
antispasmodic agents	vitamins administered by injection
antithrombotic agents	oxygen carriers
antitussive agents	Agents that directly or indirectly affect or manipulate gene expression
blood coagulants	
bronchodilators	

[amended 1.6.11] [amended 15.6.12]

(3) Metabolites, artifacts and isomers of the prohibited substances prescribed by subrules (1) and (2) of this rule.

3.9 Threshold for Prohibited Substances

AR 178C

(1) The following prohibited substances when present at or below the concentrations respectively set out are excepted from the provisions of AR.178B and AR.178H:- *[amended 1.11.13]*

(a) Alkalinising agents, when evidenced by total carbon dioxide (TCO₂) at a concentration of 36.0 millimoles per litre in plasma. *[amended 1.9.01]*

(b) Arsenic at a mass concentration of 0.30 milligrams per litre in urine.

(c) Dimethyl sulphoxide at a mass concentration of 15 milligrams per litre in urine or 1.0 milligrams per litre in plasma.

(d) In male horses other than geldings, 5 α -estrane-3 α ,17 β -diol in urine (including both the free substance and that liberated from its conjugates) at a mass concentration equal to or less than that of 5(10) estrane-3 α ,17 β -diol in urine (including both the free substance and that liberated from its conjugates). *[amended 1.9.01]*

(e) Salicylic acid at a mass concentration of 750 milligrams per litre in urine or 6.5 milligrams per litre in plasma.

(f) Hydrocortisone at a mass concentration of 1.00 milligrams per litre in urine.

(g) Testosterone

(i) in geldings: free testosterone and testosterone liberated from its conjugates at a mass concentration of 20 micrograms per litre in urine;

(ii) in fillies and mares: free testosterone and testosterone liberated from its conjugates at a mass concentration of 55 micrograms per litre in urine;

(iii) in fillies and mares that have been notified as pregnant pursuant to the requirements of AR.64E(2): free testosterone and testosterone liberated from its conjugates at any concentration in urine;

(iv) in geldings: free testosterone at a mass concentration of 100 picograms per millilitre in plasma. *[amended 1.1.15]*

(h) 3-Methoxytyramine (including both free 3-methoxytyramine and 3-methoxytyramine liberated from its conjugates) at a mass concentration of 4.0 milligrams per litre in urine. *[AR.178C replaced 1.11.99 and 1.10.01]*

(j) Boldenone in male horses other than geldings, (including both free boldenone and boldenone liberated from its conjugates) at a mass concentration of 15 micrograms per litre in urine. *[added 1.12.05]*

(k) Theobromine at a mass concentration of 2.00 milligrams per litre in urine. *[added 10.8.06]*

(l) Cobalt at a mass concentration of 200 micrograms per litre in urine. *[added 1.1.15]*

(2) The following substances are excepted from the provisions of AR.178B: - antimicrobials (antibiotics) and other anti-infective agents but not including procaine penicillin antiparasitics approved and registered for use in horses

ranitidine

omeprazole

ambroxol

bromhexine

dembrexine

registered vaccines against infectious agents *[subrule (2) added 3.2.03]*

orally administered glucosamine *[added 1.12.05]*

orally administered chondroitin sulphate *[added 1.12.05]*

altrenogest when administered to fillies and mares. *[added 10.8.06]*

[subrule amended 1.6.11]

3.10 Anabolic Steroid

AR 178H

(1) A horse must not, in any manner, at any time, be administered an anabolic androgenic steroid.

(2) Any person who:

(a) administers an anabolic androgenic steroid;

- (b) attempts to administer an anabolic androgenic steroid;
 - (c) causes an anabolic androgenic steroid to be administered; and/or
 - (d) is a party to the administration of, or an attempt to administer, an anabolic androgenic steroid, to a horse commits an offence and must be penalised in accordance with AR 196(5).
- (3) Where the Stewards are satisfied that a horse has, or is likely to have been, administered any anabolic androgenic steroid contrary to AR.178H(1), the Stewards may prevent the horse from starting in any relevant race, official trial or jump-out.
- (4) When a sample taken at any time from a horse has detected in it an anabolic androgenic steroid the horse is not permitted to start in any race or official trial:
- (a) for a minimum period of 12 months from the date of the collection of the sample in which an anabolic androgenic steroid was detected; and
 - (b) only after an Anabolic Androgenic Steroid Clearing Certificate is provided in respect of a sample taken from the horse, such sample having been taken at a date determined by the Stewards.

AR 15D

- (1) This rule applies to all horses which are eligible to be registered under these Rules but have not yet been registered under these Rules. *[amended 1.1.15]*
- (2) The Stewards or other official appointed by the Principal Racing Authority may, at any time, direct that a horse be produced to provide a sample to be analysed to determine whether any anabolic androgenic steroid is present in the system of the horse.
- (3) Where a horse is not produced to provide a sample as directed pursuant to AR.15D(2), that horse is ineligible to start in any race or official trial:
- (a) until at least 12 months after the latter of:
 - (i) the date on which the horse, having been registered under these Rules, is allowed to start in a race under AR 45A (subject to any further conditions imposed by the Stewards in their discretion); and
 - (ii) the date on which the horse is in fact produced to provide a sample to be analysed to determine whether any anabolic androgenic steroid is present in the system of the horse; and
 - (b) only after an Anabolic Androgenic Steroid Clearing Certificate is provided in respect of a sample taken from the horse, such sample having been taken at a date determined by the Stewards.
- (4) Where a sample taken at any time from a horse has detected in it an anabolic androgenic steroid (other than an anabolic androgenic steroid which is present at or below the relevant concentrations set out in AR.178C(1)), that horse is ineligible to start in any race or official trial:
- (a) until at least 12 months after the latter of:
 - (i) the date on which the horse, having been registered under these Rules, is allowed to start in a race under AR.45A (subject to any further conditions imposed by the Stewards in their discretion); and
 - (ii) the date the relevant sample was taken; and
 - (b) only after an Anabolic Androgenic Steroid Clearing Certificate is provided in respect of a sample taken from the horse, such sample having been taken at a date determined by the Stewards.
- (5) Any person must, when directed by the Stewards or other official appointed by the Principal Racing Authority, produce, or otherwise give full access to, the horse so that the Stewards or other official appointed by the Principal Racing Authority may take or cause a sample to be taken and analysed to determine whether any anabolic androgenic steroid is present in the system of the horse.
- (6) For the avoidance of doubt and without limitation, sub-rule (5) requires an owner, lessee, nominator and/or trainer to produce the horse, or otherwise give full access to the horse, even if the horse is:
- (a) under the care or control of another person; and/or
 - (b) located at the property of another person.
- (7) Any person who fails to produce, or give full access to, a horse to provide a sample as required by sub-rule (5) may be penalised. *[added 1.11.13]*

Prohibited Substances in Horse Handlers

4.1 Use of Alcohol and Drugs

AR 81AA

- (1) Any Horse Handler commits an offence and may be penalised if:

- (a) A sample taken from him is found upon analysis to contain a substance banned by AR.81BB; or
 (b) he refuses or fails to deliver a sample as directed by the Stewards, or tampers with, adulterates, alters, substitutes or in any way hinders the collection of such sample or attempts to do any of those things.

[amended 1.6.15]

- (2) Any Horse Handler may be prevented by the Stewards from handling any horse in training, based on any information, their own observations or on medical or other competent advice that his faculties may be impaired by any substance banned by AR.81BB.
- (3) In the event of any analysis or a preliminary analysis of a sample taken from a horse handler pursuant to AR.8(jjj) indicating the presence of a substance banned by AR.81BB, or if a Horse Handler refuses or fails to deliver a sample when directed to do so, the Stewards may forthwith, pending the determination of any inquiry or other proceeding, or the result of any other analysis, stand down such person from handling horses.
- (4) In the event of a Horse Handler incurring a penalty under this rule or being stood down from handling horses he shall not unless otherwise authorised by the Stewards resume handling horses until he delivers a sample as directed by the Stewards that is found upon analysis to be free of any substance banned by AR.81BB.

[added

1.7.14]

4.2 Banned Substances for Horse Handlers

AR 81BB

The following substances and/or their metabolites, artefacts and isomers are declared as banned substances in horse handlers when present in a urine sample (unless otherwise stated) at a concentration above the applicable cut-off level:

Lysergic acid diethylamide (LSD) (0µg/L);

All barbiturates (0µg/L);

Cannabinoids (11-Nor-delta-9-tetrahydrocannabinol-9-carboxylic acid) (15µg/L);

Alcohol (at a concentration in excess of 0.05% on a breath analyser);

All stimulants – substances in this group include, but are not restricted to, Amphetamine (150µg/L);

Methylamphetamine (150µg/L); Methylenedioxyamphetamine (MDA) (150µg/L);

Methylenedioxymethylamphetamine (MDEA) (150µg/L); Methylenedioxyethylamphetamine

(MDMA) (150µg/L); Methylphenidate (0µg/L); Modafinil (0µg/L); Cocaine (100µg/L); Ephedrine

(10,000µg/L).

Substances in this group excluded are: Levo-amphetamine: Levo-methylamphetamine:

Phenylpropanolamine: Pseudoephedrine.

All opiates and opioids – substances in this group include, but are not restricted to, Morphine (0µg/L, save as specified by AR.81C): Codeine (0µg/L, save as specified in AR.81C): Oxycodone (0µg/L):

Fentanyl (0µg/L): Alfentanil (0µg/L): Pethidine (0µg/L): Methadone (0µg/L): Heroin (0µg/L):

Monoacetylmorphine (0µg/L): Hydromorphone (0µg/L): Buprenorphine (0µg/L).

Substances in this group excluded are: Dihydrocodeine: Dextromethorphan: Pholcodine: Propoxyphene:

Tramadol.

All dissociative anaesthetics and related substances – substance in this group include, but are not restricted to: Ketamine (0µg/L): Phencyclidine (0µg/L): Tiletamine (0µg/L).

All benzodiazepines – substances in this group include, but are not restricted to, Diazepam (200µg/L):

Nordiazepam (200µg/L): Oxazepam (200µg/L): Temazepam (200µg/L): Alprazolam (100µg/L) as

alphanhydroxyalprazolam): Clonazepam (100µg/L, as 7-aminoclonazepam): Flunitrazepam (100µg/L,

as 7-aminoflunitrazepam): Nitrazepam (100µg/L, as 7-aminonitrazepam): Bromazepam (0µg/L):

Clobazam (0µg/L): Flumazenil (0µg/L): Lorazepam (0µg/L): Midazolam (0µg/L): Triazolam (0µg/L):

and substances with similar structure or pharmacological activity – benzodiazepine receptor

agonists (zalplon: zolpidem: zopiclone).

[added 1.7.14]

4.3 Threshold for Codeine and Morphine

AR 81C

Notwithstanding the provisions of AR.81B and AR.81BB, when codeine and/or morphine are detected in a sample taken from a rider or a horse handler then the sample shall be deemed not to contain codeine and morphine if:

- (a) The total codeine and morphine concentration is less than 2,000Sg/L; or
- (b) The total codeine and morphine concentration achieved in confirmatory testing is in the range 2,000 to 15,000µg/L inclusive and at least one of the following applies:
 - (i) The codeine to morphine ratio contained in the sample is greater than 1.0; or
 - (ii) The rider or Horse Handler satisfies the Stewards that there is no illegal use of opiates or opioids by the rider or Horse Handler. *[replaced 1.7.14]*

4.4 Exception for Use of Banned Substances

AR 81E

Notwithstanding the provisions of AR.81A and AR.81AA, a Principal Racing Authority may permit a rider or horse handler to receive a specified banned substance, subject to the following conditions:

- (a) The medication must be essential treatment for a substantial illness, condition or ailment suffered by the rider or horse handler;
- (b) The medication must be prescribed by a medical practitioner who is a recognized specialist in the relevant field of medicine;
- (c) The specialist medical practitioner must certify:
 - (i) the nature of the illness, condition or ailment being suffered by the rider or horse handler.
 - (ii) that no alternative, non-banned substance would serve the same purpose for the illness, condition or ailment concerned.
 - (iii) that the medication would not affect the rider in a race, trial or track work to the extent that it could in any way constitute a danger to other riders. *[amended 1.9.09]*
 - (iv) That the medication would not affect the horse handler in the carrying out of his duties and/or constitute a danger to himself or to others.
- (d) The rider or the horse handler must if requested submit to medical examination by a specialist medical practitioner appointed by a Principal Racing Authority to advise it on the matters referred to in subparagraphs (i), (ii), (iii) and (iv) of paragraph I of this rule.
- (e) The rider or horse handler must:
 - (i) Before riding or handling any horse make application to the Principal Racing Authority for permission to ride or handle a horse with a specifically prescribed banned substance in his system.
 - (ii) Adhere strictly to his prescribed medication, and must report to the Stewards immediately he forms the intention to discontinue or in any way vary his prescribed medication;
 - (iii) Report to the Stewards immediately he believes that either his illness, condition or ailment or his medication may have some influence on his ability to ride or handle a horse effectively and/or safely.
 - (iv) Renew his application for exemption on each occasion on which he applies for the renewal of his license, registration, permit or other qualification. *[replaced 1.7.14]*

Responsibilities for reporting (disease, conditions, etc.)

5.1 Notifiable Disease

AR 64K

(1) The following animal diseases or conditions are declared to be notifiable, and must be notified and dealt with in accordance with subrules (2) to (9) of this rule:

African horse sickness	Equine encephalomyelitis (Eastern and Western)
Borna disease	Equine encephalomyelitis (Venezuelan)
Contagious equine metritis	Equine encephalosis
	Equine herpes-virus 1 (abortigenic and neurological strains)
Dourine	
Epizootic lymphangitis	Equine infectious anaemia

Equine influenza	Screw-worm fly - New World (<i>Cochliomyia</i>
Equine piroplasmiasis (Babesiosis)	<i>hominivorax</i>)
Equine viral arteritis	Screw-worm fly - Old World (<i>Chrysomya bezziana</i>)
Getah virus	Strangles
Glanders	Surra (<i>Trypanosoma evansi</i>)
Hendra virus	Trichinellosis
Japanese encephalitis	Warble fly myiasis
Potomac fever	West Nile virus infection

[subrule replaced 1.9.09]

- (2) A person who owns or is in charge of, or has in his possession or control, a horse which the person suspects or should reasonably suspect is infected with a notifiable disease or condition, and who does not, as soon as possible after he should have suspected or became aware that the horse is infected, report the fact to the Principal Racing Authority in that State or Territory by the quickest means of communication available to the person is guilty of an offence.
- (3) A person who owns or is in charge of, or has in his possession or control, a horse which the person suspects or shall reasonably suspect is infected with notifiable disease or condition must as far as practicable keep that horse separate from other horses or animals not so infected. A person who contravenes this subrule is guilty of an offence.
- (4) If they reasonably suspect any premises, place or area to be contaminated with a notifiable disease or condition, the Stewards may by order in writing declare it to be an infected place. Such written notice of an order declaring any premises, place or area to be an infected place must be given to the owner or person in charge or in apparent control of the premises, place or area to which the order relates.
- (5) If they reasonably suspect any vehicle to be contaminated with a notifiable disease or condition, the Stewards may by order in writing declare it to be an infected vehicle. Such written notice of an order declaring a vehicle to be an infected vehicle must be given to the owner or person in charge or in apparent control of the vehicle to which the order relates.
- (6) Any person (other than a person expressly authorised to do so by the Stewards) who brings, moves, takes or allows any person to bring, move or take any animal, fodder or fitting into, within or out of any such premises, place, area or vehicle, declared under subrules (4) or (5), or who causes, permits or assists any vehicle to enter or leave any such premises, place or area is guilty of an offence.
- (7) Without limiting their powers, the Stewards may attach conditions to an authorisation referred to in subrule (6) - including conditions that the animal, fodder, fitting or vehicle to which the authorisation relates - must first be disinfected to the satisfaction of the Stewards and in a manner specified by the Stewards before leaving or being taken out of the infected place or infected vehicle; and must not go or be brought to any other premises or place where any specified animals, fodder or fittings are located.
- (8) The Stewards may give any direction or order with respect to bio-security precautions that shall be taken by any person on licensed premises, or any person handling or riding racehorses.
- [added 28.8.07][amended & renumbered 1.9.09]*
- (9) An order made under this Rule comes into effect on the day it is made. *[added 27.8.07][renumbered 1.9.09]*

5.1 Infectious Disease on Racecourse or Training Track

AR 64L

A horse suffering from an infectious disease shall not be brought on a racecourse or training track.

[added 1.6.11]

General rules and inquires

6.1 Registration of a Racehorse

AR 17

If any incorrect information be furnished on the application for registration of a racehorse, the stewards may penalise the applicant and may suspend the horse from racing pending a decision by the Registrar of Racehorses as to whether or not the registration of the horse should be cancelled.

[amended

1.9.09]

6.2 Conflicts of Interest

AR 39

No person shall act in an official capacity as Steward, **Veterinary Surgeon**, Handicapper, Judge, Starter, Clerk of the Course, Clerk of the Scales, Farrier, Barrier Attendant or Timekeeper, or as Assistants or Deputies of any of the above in respect of any race in the result of which he has a pecuniary interest.

6.3 Gear

AR 87A

- (2) While being led outside the confines of any stable premises every horse shall have a bit in its mouth, which bit shall be attached to a lead. *[deleted & replaced 1.11.99]*
- (3) Every person leading or attending a horse shall wear fully enclosed and substantial footwear of a standard approved by the Stewards. *[subrule added 1.9.09]*

6.4 Running on Merits

AR 135

- (a) Every horse shall be run on its merits.
- (c) Any person who in the opinion of the Stewards has breached, or was a party to breaching, any portion of this Rule may be penalised, and the horse concerned may be disqualified. *[amended 1.9.09]*
- (d) Any person who:
- (i) in the opinion of the Stewards, has breached, or was a party to breaching, subrule 135(a); and
 - (ii) has a lay bet or an interest in a lay bet on the subject horse and/or has a bet or an interest in a bet on another horse in the subject race, must be penalised in accordance with AR.196(5).

6.5 Use of Whip

AR 137A – Effective 1st December, 2015

- (5) Subject to the other requirements of this rule:
- (a) In a race, official trial or jump-out prior to the 100 metre mark;
- (i) The whip shall not be used in consecutive strides.
 - (ii) The whip shall not be used on more than 5 occasions.
 - (iii) The rider may at his discretion use the whip with a slapping motion down the shoulder, with the whip hand remaining on the reins.
- (b) In the final 100 metres of a race, official trial or jump-out, a rider may use his whip at his discretion.

6.6 Conduct prejudicial to the Image, Interest or Welfare of Racing

AR 175A

Any person bound by these Rules who either within a racecourse or elsewhere in the opinion of the Committee of any Club or the Stewards has been guilty of conduct prejudicial to the image, or interests, or welfare of racing may be penalised. *[amended 1.9.09]*

6.7 Obligation to Report Prejudicial Conduct

AR 175AA

- (1) Where a person is, directly or indirectly, approached or requested to engage in any conduct which could constitute:
- (a) corrupt, dishonest, fraudulent, or improper conduct in connection with racing;
 - (b) conduct which is detrimental to the integrity, interest and/or welfare of racing;
 - (c) an act of cruelty to a horse,
- he or she must provide full details of the approach or request to the Stewards as soon as is practicable.
- (2) A person who fails to comply with AR.175AA(1) may be penalised.

[Rule added 1.6.15]

6.8 Betting of Horses

AR 175B

- (2) Any person employed by a trainer in connection with the training or care of racehorses must not lay a horse under the control of the trainer for whom he is or was employed, while so employed and for a period of 21 days after ceasing to be so.
- (5) Any person who has provided a service or services connected with the keeping, training or racing of a horse must not, within 21 days of having last done so, lay such horse.
- (7) For the purposes of this rule 'lay' means the offering or placing of a bet on a horse:
- (a) to lose a race; or
 - (b) to be beaten by any other runner or runners; or
 - (c) to be beaten by any margin or range of margins; or
 - (d) that a horse will not be placed in a race in accordance with the provisions of AR.157.

[rule replaced 19.10.06][subrule (7) added 15.2.07][subrule replaced 1.10.07]

6.9 AR 175C

In circumstances where it is an offence for a person to lay a horse under AR.175B it shall also be an offence for that person to:

- (a) have a horse laid on his behalf; or
- (b) receive any moneys or other valuable consideration in any way connected with the laying of the horse by another person.

[added 19.10.06]

6.10 Legal Representation at Inquiries

AR 199B

A person attending or required to attend an inquiry or hearing conducted by the Stewards or the Committee of a Club or Association shall not be entitled to be represented by any other person, whether a member of the legal profession or otherwise, provided that an apprentice jockey may be represented by his master or other trainer acting for his master.

[amended 1.10.06]

6.11 Destruction of a Horse

AR 201

In the event of any horse being so injured on a racecourse that the destruction of such horse in the opinion of the stewards or qualified veterinary surgeon appointed by the Club conducting the race meeting, or a qualified veterinary surgeon approved by the Club in control of the racecourse, is advisable in order to save unnecessary suffering, such stewards or qualified veterinary surgeon may order such horse to be destroyed by such person as the stewards or the veterinary surgeon consider suitable.

6.12 Faxed Submissions

AR 207

Any entry, scratching or notice required by the Rules to be in writing may be made or given by facsimile transmission and such entry, scratching or notice shall be deemed to have been made or given when facsimile transmission is received by the addressee.

Penalties and Disqualified Persons

7.1 Persons Committing an Offence

AR 175

The Principal Racing Authority (or the Stewards exercising powers delegated to them) may penalise;

[Amended 1.5.09, 1.12.10 & 1.6.15]

- (a) Any person who, in their opinion, has been guilty of any dishonest, corrupt, fraudulent, improper or dishonourable action or practice in connection with racing.
- (aa) Any person, who in their opinion, engages in conduct that corrupts the outcome of a race or is intended to corrupt the outcome of a race. In this rule:
 - (i) conduct corrupts the outcome of a race if it:
 - (a) affects or, if engaged in, would be likely to affect the outcome of any race; and
 - (b) is contrary to the standards of integrity that a reasonable person would expect of persons in a position to affect the outcome of a race.
 - (ii) conduct means an act or an omission to perform an act.
 - (iii) engage in conduct means:
 - (a) do an act; or
 - (b) omit to perform an act.
 - (iv) outcome is to include any result within the race and is not to be limited to winning or placing in the race. *[paragraph added 1.3.13]*
- (b) Any person who corruptly gives or offers any money, share in a bet, or other benefit to any person having official duties in relation to racing, or to any owner, nominator, trainer, rider, or person having charge of or access to a racehorse.
- (c) Any person having official duties in relation to racing, or a nominator, trainer, rider, or person having charge of or access to a racehorse, who corruptly accepts, or offers to accept, any money, share in a bet, or other benefit.
- (f) Any person who refuses or fails to attend or give evidence at any investigation, inquiry or appeal when directed or requested by the Principal Racing Authority, or other person authorised by the Principal Racing Authority, to do so. *[amended 1.5.02, 1.2.14 & 1/6/15]*
- (g) Any person who gives at any interview, investigation, inquiry, hearing and/or appeal any evidence which is false or misleading in any particular. *[amended 1.2.14]*
- (gg) Any person who makes any false or misleading statement or declaration in respect of any matter in connection with the administration or control of racing.
- (h) Any person who administers, or causes to be administered, to a horse any prohibited substance -
 - (i) for the purpose of affecting the performance or behaviour of a horse in a race or of preventing its starting in a race; or
 - (ii) which is detected in any sample taken from such horse prior to or following the running of any race.
- (k) Any person who has committed any breach of the Rules, or whose conduct or negligence has led or could have led to a breach of the Rules. *[amended 20.11.02]*
- (l) Any person who attempts to commit, or conspires with any other person to commit, or any person who connives at or is a party to another committing any breach of the Rules.
- (n) Any person who in their opinion commits or commissions an act of cruelty to a horse, or is in possession or control of any article or thing which, in their opinion, has been made or modified to make it capable of inflicting cruelty to a horse. *[paragraph added 1.2.01][amended 1.8.04][amended 1.9.09]*
- (o) Any person in charge of a horse who in their opinion fails at any time –
 - (i) to exercise reasonable care, control or supervision of a horse so as to prevent an act of cruelty to the animal; and/or *[amended 1.9.09]*
 - (ii) to take such reasonable steps as are necessary to alleviate any pain inflicted upon a horse; and/or
 - (iii) to provide for veterinary treatment where such treatment is necessary for the horse. *[added 1.2.01]*
 - (iv) to provide proper and sufficient nutrition for a horse. *[added 1.9.09]*
- (qq) Any person who in their opinion, is guilty of engaging in the publishing or posting on any social media platform or channel any material, content or comment that is obscene, offensive, defamatory, racist, threatening, harassing, discriminating or abusive to any other person or entity involved in the racing industry. *[added 1.6.15]*
- (s) Any person responsible for the use on any horse of any shoes, racing plates, equipment or gear which has not been approved, or which in their opinion is unsuitable or unsafe. *[added 20.11.02]*

7.2 Penalty for Alcohol and Drug Use

AR 81D

The Stewards may stay in whole or in part, and for such period and under such terms and conditions as they think fit, the operation of any penalty imposed for a breach of AR.81A or AR.81AA. Provided that, in the event of any failure to comply with any of the terms and conditions of the stay, the Stewards may order that the penalty take effect.

[replaced

1.7.14]

7.3 Penalties

AR 182

(1) Except with the consent of the Principal Racing Authority that imposed the disqualification, and upon such conditions that they may in their discretion impose, a person disqualified pursuant to these Rules must not, during the period of that disqualification:

- (a) Enter upon any racecourse or training track owned, operated or controlled by a Club or Principal Racing Authority or any land used in connection with such properties;
- (b) Enter upon any training premises, complex or establishment of any Club, Principal Racing Authority or licensed person;
- (c) Be an office holder, official, member or employee of any Club or Principal Racing Authority;
- (d) Be employed by, or otherwise engaged to provide any service in any capacity to, any thoroughbred racing stable;
- (e) Ride any racehorse in any race, official trial, jump-out or test;
- (f) Enter or nominate any horse for a race or official trial whether acting as agent or principal or in any other capacity;
- (g) Subscribe to any sweepstakes;
- (h) Race or have trained any horse whether as owner, lessee or in any other capacity;
- (i) Share in the winnings of any horse;
- (j) Participate in any way in the preparation for racing or training of any racehorse;
- (k) Open a betting account, operate an existing betting account, transact a bet or have a bet transacted on his/her behalf, have any interest in or share in any bet, receive a benefit from any bet placed with a licensed wagering operator in connection with any thoroughbred race meeting held in Australia;
- (l) Conduct or assist with thoroughbred breeding in Australia;
- (m) Attend or participate in thoroughbred racehorse sales or related events;
- (n) Permit or authorise any other person to conduct any activity associated with thoroughbred racing, thoroughbred race horse sales and/or breeding for or on behalf of the disqualified person; and/or
- (o) Receive any direct or indirect financial or other benefit derived from thoroughbred racing and/or breeding in Australia.

(2) In addition to any of the restrictions that may apply in respect of a disqualified person, including those set out in AR.182(1), the Principal Racing Authority or the body which imposed the disqualification may order the disqualified person:

- (a) not to participate in social media or mainstream media in relation to any racing or wagering matter;
- (b) to adhere to such other restrictions as may be necessary or desirable to prevent conduct by the disqualified person that could be prejudicial to the image or interests or welfare of racing.

(3) Except with the consent of the Principal Racing Authority that imposed the disqualification, no person who in the opinion of the Principal Racing Authority is a close associate of a disqualified person shall be permitted to train or race any horse.

(4) A disqualified person who breaches an order made pursuant to AR.182(2) is guilty of an offence and may be penalised.

(5) Unless otherwise determined by the Principal Racing Authority that imposed or adopted the penalty, the period of disqualification of any person who contravenes any of the provisions of rule AR.182(1), shall automatically recommence as from the most recent date of such contravention, and the person may also be subject to further penalty.

(6) The provisions of subrule (5) shall apply to any person to whom AR.182(1) applies, regardless of when such penalty that gives rise to the application of the rule was imposed. *[Rule deleted and replaced 1.2.15]*

7.4 Persons Warned

AR 183

A person warned-off by a Principal Racing Authority shall be subject to the same disabilities as a person disqualified.

7.5 Fines and Duration of Penalties

AR 196

(1) Subject to subrule (2) of this Rule any person or body authorised by the Rules to penalise any person may, unless the contrary is provided, do so by disqualification, suspension, reprimand, or fine not exceeding \$100,000. Provided that a disqualification or suspension may be supplemented by a fine.

[amended 1.9.09][subrule amended 1.2.15]

(5) Where a person is found guilty of a breach of any of the Rules listed below, a penalty of disqualification for a period of not less than the period specified for that Rule must be imposed unless there is a finding that a special circumstance exists whereupon the penalty may be reduced:

AR.64G(2) – 12 months (where the stomach-tubing or attempt to stomach-tube occurred on race day or on the one Clear Day prior to race day for a horse engaged to run in a race on that race day)

AR.135(d) – 3 years Horse running on merits and laying a bet

AR.175(aa) – 5 years Any person who corrupts or intends to corrupt race outcome

AR.175(h)(i) – 3 years Any person administering any prohibited substance

AR.175(hh)(i) – 2 years Use of an electronic device on a horse

AR.177B(6) – 2 years Detection of prohibited substance

AR.178E – 6 months Anyone administering race day medication

AR.178H(2) – 2 years Anyone involved in the administration of an anabolic steroid

For the purpose of this sub-rule, a special circumstance is as stipulated by each Principal Racing Authority under its respective Local Rules. *[paragraph added 1.3.13][replaced 1.11.13][subrule replaced 1.2.15]*

AR.197.

No person shall be entitled to make any claim for damages by reason or in consequence of the imposition, annulment, removal, mitigation, or remission of any penalty imposed or purporting to be imposed under the Rules. *[amended 1.9.09]*

Horses competing interstate fall under the jurisdiction of the principal racing authority (the authority) where the race is being held. The authority will have local rules of racing which are particular to that state. The veterinarian should ensure that they are thoroughly familiar with the local rules in any state where a client’s horse is racing, prior to administering treatment. A link to the most complete and up to date version of the authority’s local rules for each state, can be found at the beginning of each section.

Appendix 1. Racing NSW Local Rules

01/06/15 version

<http://www.racingsw.com.au/default.aspx?s=rules-of-racing>

LR 1 Geographic Area for Application of Racing NSW Local Rules

The *Local Rules of the NSW Thoroughbred Racing Board* (inclusive of the Rules of Betting) for the time being and the *Australian Rules of Racing* for the time being must be read, interpreted, and construed together, and as so combined will be and be known as *The Rules of Racing of the NSW Thoroughbred Racing Board* and such rules apply to the administration, supervision and control of racing throughout New South Wales and the Australian Capital Territory.

[amended 15.11.04]

LR 3 Rules Applicable to Persons

Any person who takes part in any matter coming within the Rules of Racing, or to which the said rules apply, thereby agrees to be bound by them.

LR 4 Rules Applicable to Betting

The *Rules of Betting of the NSW Thoroughbred Racing Board* for the time being apply to all bets made and to all disputes relating to bets arising at a registered meeting.

[amended 15.11.04]

LR 6 Powers of the Board

The Board has the power to warn off any or all racecourses within its control any person whose presence thereon in the opinion of the Board is not desirable.

LR 15 Stewards Powers for Notifiable Diseases

Where a declaration has been made under AR 64K(1), the Stewards shall have the function of taking any measures which in their opinion are necessary for the purpose of containing or eradicating the disease or condition which is the subject of the declaration including but not limited to the following powers to:

- (a) require persons to implement biosecurity precautions to be taken on any racecourse, training centre, registered stable premises and/or any other premises where race horses are located or trained;
- (b) require persons to implement biosecurity precautions to be taken in the care, control, supervision, transport, stabling, handling, riding or training of racehorses and any other horses located on the same premises as racehorses or likely to have contact with such racehorses;
- (c) require persons to vaccinate or comply with the vaccination of any racehorse stabled or located on the premises of any racecourse or any registered stable, or trained or controlled by a licensed person, or that may be training or racing on the premises of a racecourse or located at registered stable premises at any future time;
- (d) require persons to vaccinate or comply with the vaccination of any other horse located on the same premises or nearby premises, or likely to have contact with racehorses referred to in subsection (c);
- (e) restrict or control the access of any person, vehicle or service to any racecourse, training centre or registered stable premises;
- (f) restrict or control access by any unvaccinated horse to any racecourse, training centre or registered stable premises.

For the purpose of this rule only, a racehorse shall mean all thoroughbred horses of whatever age that are registered or are capable of being registered. [rule added 27.9/07]

15 A Stewards Powers to Investigate

- (1) For the purposes of this LR 15A, a reference to Racing NSW includes a reference to a person (or group of persons, such as the Stewards) authorised by Racing NSW (whether under these Rules or otherwise) to conduct any interview, investigation, inquiry or hearing.
- (2) Any interview, inquiry or hearing conducted by Racing NSW may be recorded by or on behalf of Racing NSW using an audio and/or visual recording device and/or by the taking of a transcript or handwritten or typed notes.
- (3) Any recording, notes or transcript made by (or on behalf of) Racing NSW shall be available for use as evidence in any subsequent hearing, review or in any related proceedings conducted by Racing NSW or otherwise under the *Thoroughbred Racing Act 1996 (NSW)* and *Racing Appeals Tribunal Act 1983 (NSW)* as in force from time to time. (For the avoidance of doubt, the provisions of this LR 15A(3) are subject to any rules (including the rules of evidence) and/or procedural requirements applicable in any subsequent hearing or review). [rule added 15.10.07]

LR 36A Scratching

Further to the provisions of AR 114, notice of withdrawal of a horse from any race meeting (picnic race meetings exempt) must be given before 7.30am on the morning of the race for day meetings and before 10.00am on the morning of the race for night meetings, except with the permission of the Stewards who may permit such withdrawal with or without the imposition of a penalty. Should permission to withdraw a horse be given after the scratching deadline but prior to the official release of the final listing of scratchings then at their discretion the Stewards may permit the next available emergency runner to take its place in such race field. [amended 1.10.2007][re-numbered 1.8.11]

LR 37 Scratched on Veterinary Advice

If after declaration of acceptance a horse is withdrawn by order of, or with the permission of, the Stewards acting on veterinary advice, or if a horse is found to be lame or otherwise injured after a race or trial, such horse may be deemed ineligible to start for such time as the Stewards may decide and/or only after it has passed such test or tests as the Stewards may decide are necessary to establish its fitness.

LR 44 Prohibited Substance Testing

- (1) Further to the powers contained in AR 8(j), the stewards may order that a horse not be permitted to race until such tests as they consider necessary are conducted to determine whether any prohibited substance is present in the system of that horse.
- (2) Unless ordered otherwise, the cost of such tests shall be borne by the owners of the horse.

LR 48 Vaccination for Equine Influenza

- (1) All horses that are involved in the activities of racing or breeding, including any horses used in trainers' stables or used for any purpose on a racecourse, training area, registered stables, spelling or breaking property or places elsewhere that are frequented by thoroughbred horses, must be vaccinated against equine influenza in accordance with the general requirements of subrule (2) of this Rule with a vaccine specifically approved by the Board; provided that this Rule will not apply to any foal which is less than six months old and whose dam was, prior to foaling, vaccinated in accordance with the general requirements of subrule (2) of this Rule.
- (2) All horses that are involved in the activities of racing or breeding must, at a minimum, be vaccinated against equine influenza as follows:
 - (a) Two primary doses of vaccine given no less than 14 days apart and no more than 42 days apart.
 - (b) (i) For horses whose primary vaccination was between 14 days and 21 days a booster vaccination given no less than 90 days and no more than 120 days.
(ii) For horses whose primary vaccination was between 22 and 42 days a booster vaccination given no less than 120 days and no more than 160 days.
 - (c) Subsequent booster vaccinations at intervals of not more than a year apart, or such lesser time as the Board may, in an emergency, decide.
 - (d) For recovered horses a vaccination no earlier than 1 July 2008 and no later than 1 August 2008 with subsequent vaccinations in accordance with subsection 2(c).
- (3) A horse is ineligible to race until 7 days after receiving any dose of vaccine. All vaccination intervals referred to in this Rule are to be calculated by ignoring the day of the vaccination and counting the day of the race.
- (4) Except in the case of horses that are domiciled outside NSW, each vaccination given in accordance with subrule (2) of this Rule must be notified to the Board by lodging advice on the vaccination history web page that is maintained by the Australian Stud Book, and lodging any other advice as required by any Principal Racing Authority.

In the case of horses that are domiciled outside Australia, such a horse must, while in Australia, be accompanied by a passport showing its vaccination history; or if it is normally domiciled in New Zealand then vaccination records must be available for inspection in the form of a combined identification certificate correctly identifying the horse, signed by a veterinarian who is neither the Owner nor the Trainer of the horse, stating that it has received the vaccinations required under subrule (2) of this Rule, and giving the dates of such vaccinations.
- (5) Subject to subrule (7) of this Rule, no person shall bring to any area referred to in subrule(1) a horse that has not been vaccinated in accordance with subrule (2) of this Rule.
- (6) A horse which, in the opinion of the Board, has not been vaccinated in accordance with subrule (2) is ineligible to be nominated for or run in any race. Provided, however, that in relation to nominations only, this provision shall not apply to races for which nominations close more than seven days prior to the advertised date for the running of such event.
- (7) In the case of other horses which are brought to any area referred to in subrule (1) for any reason, its vaccination records must be available for inspection and may be accepted, provided that they are in the form of a combined identification certificate correctly identifying the horse, and that the certificates have been signed by a veterinarian who is neither the Owner nor the Trainer of the horse, stating that it has received the vaccinations required under subrule (2) of this Rule and giving the dates of such vaccinations.
- (8) The Board, subject to the provisions of subrule 2(d), may, at their discretion, exempt a horse from the provisions of this Rule for such period as they may determine if they are satisfied that the horse has sufficient immunity against equine influenza as a consequence of having been infected with that disease. In giving consideration to such exemption the Board require the owner or trainer to provide information as to the positive immune status of such horse and the dates relative thereto.
- (9) Any person in breach of this rule or responsible for a horse which has not fulfilled the provisions of this rule participating in racing or breeding activities may be penalised and any horse concerned shall be subject to whatever order the Board in their discretion may apply.

- (10) The Board in their discretion may vary any of the requirements of this rule and in so doing make such orders concerning a horse as in the circumstances they see fit. *[rule rescinded 01.07.2001] [rule added 18.2.08]*

LR 82B Prohibited Substances in Persons

- (1) Any person employed by or assisting a trainer in the training, care or superintendence of a racehorse upon any racecourse, training centre or registered stable commits an offence and may be penalised if
- (a) a sample taken from him/her is found upon analysis to contain the presence of a substance banned by AR81B; or
 - (b) he/she refuses or fails to deliver a sample as directed.
- (2) In the event of an analysis or preliminary analysis of a sample indicating the presence of a substance banned by AR81B, or if, pursuant to this rule, a person refuses or fails to deliver a sample when directed to do so, the Stewards may forthwith, pending the determination of any inquiry or other proceedings, stand down such person.
- (3) In the event of a person incurring a penalty under this rule, he/she shall not resume duties until he/she delivers a sample as directed by the Stewards that is free of any substance banned by AR81B.
- (4) Further, provided that the provisions of AR81A(5) as they apply to a rider shall apply mutatis mutandis to any person under this rule. *[rule added 1.12.05]*

LR 82C “Permitting” of Veterinarians

[LR82C effective 1.9.15 in the metropolitan area & effective 1.12.15 in the provincial and country areas]

- (1) Subject to subrule (2):
- (a) No veterinarian shall provide veterinary services to a horse in training and/or competing in New South Wales unless that veterinarian is registered with the Veterinary Practitioners Board of NSW or equivalent interstate body and has been issued a permit by Racing NSW.
 - (b) A trainer shall not allow a horse under his care or control in New South Wales to receive veterinary services from any person other than a veterinarian who is registered with the Veterinary Practitioners Board of NSW or equivalent interstate body and has been issued a permit by Racing NSW.
- (2) Subrule (1) of this rule does not apply in emergency circumstances where the health or welfare of a horse is at risk if veterinary services are not provided immediately and a veterinarian who has been issued a permit by Racing NSW is not available to provide those services.
- (3) For the purposes of this rule and LR 82D: “permit” is a permit as referred to in the definition of “Licence” in the Rules and is subject to the Policy Statement that appears at the end of these Local Rules; “veterinary services” means any services (including the prescribing or provision of any medication) provided to or in connection with a horse by a person who is a registered veterinarian.

[LR82C effective 1.9.15 in the metropolitan area & effective 1.12.15 in the provincial and country areas]

LR 82D Permit to Search

[LR82C effective 1.9.15 in the metropolitan area & effective 1.12.15 in the provincial and country areas]

Prior to Stewards exercising their powers under AR 8B in respect of a premises or surgery occupied by or under the control of a veterinarian who has been issued a permit by Racing NSW, the following shall apply:

- (1) Racing NSW shall make an application to the Principal Member for the issue of a permit to search.
- (2) The Principal Member shall have the power to, and shall:
- (a) grant the application and issue a permit to search in terms sought by Racing NSW or as otherwise amended by the Principal Member; or
 - (b) reject the application and not issue a permit to search.

- (3) A permit to search shall contain the following information:
- (a) the name of the veterinarian who has been issued a permit by Racing NSW;
 - (b) the address of the premises or surgery occupied by or under the control of the veterinarian who has been issued a permit by Racing NSW;
 - (c) the purpose of the search including specific item/s being searched for;
 - (d) the scope of the search including specific item/s that are permitted to be taken into the possession of Racing NSW; and
 - (e) an outline of the process to be undertaken by Racing NSW in respect of the imaging of data from the electronic records of the veterinarian who has been issued a permit by Racing NSW (if relevant).
- (4) This rule does not apply to any search of the vehicle or person of a veterinarian who has been issued a permit by Racing NSW conducted by Stewards while that veterinarian is located on a trainer's approved premises or racecourse.
- (5) For the purposes of this rule:
 "permit to search" means a permit to search issued by the Principal Member prior to Stewards exercising their powers under AR 8B in respect of a premises or surgery occupied by or under the control of an approved veterinarian; "Principal Member" means the Principal Member of the Appeal Panel appointed pursuant to section 46 of the Thoroughbred Racing Act 1996 (NSW).
[LR82D effective 1.9.15 in the metropolitan area & effective 1.12.15 in the provincial and country areas]

LR 108 Fines

- (1) Unless otherwise ordered, fines or costs imposed by the Board, Appeal Body, Association, Club or Stewards, must be paid within 14 days. If a fine remains outstanding after 14 days of its imposition, such person may be placed on the forfeit list.
- (2) For the purposes of AR196(5), special circumstances means where:
- (a) the person has pleaded guilty at an early stage and assisted the Stewards or the Board in the investigation or prosecution of a breach of the Rule(s) relating to the subject conduct; or
 - (b) the person proves on the balance of probabilities that, at the time of the commission of the offence, he:
 - (i) had impaired mental functioning; or
 - (ii) was under duress, that is causally linked to the breach of the Rule(s) and substantially reduces his culpability. *[Rule amended 1.3.13]*
 - (c) in the case of offences under AR178E, the medication in the opinion of the Stewards does not contain a prohibited substance, is of an insignificant nature and is for the welfare of the horse; or *[paragraph added 18.11.13]*
 - (d) the person proves, on the balance of probabilities that, he did not know, ought not to have known and would not have known had he made all reasonable inquiries, that his conduct was in breach of the Rules of Racing. *[paragraph added 18.11.13]*

LR 110A Inside Information

- (1) A person who possesses inside information in connection with a horse that is entered in a race can be penalised if the person:
- (a) in the case of a bookmaker, accepts a bet on the subject horse;
 - (b) has a lay bet or an interest in a lay bet on the subject horse and/or has a bet or an interest in a bet on another horse in the subject race;
 - (c) encourages another person to have a lay bet or an interest in a lay bet on the subject horse and/or to have a bet or an interest in a bet on another horse in the subject race; or
 - (d) communicates the information, directly or indirectly, to any person who the first person knows or ought reasonably to know would or would be likely to bet on the race in which the horse is to run, provided that it is not an offence to:
 - (i) make the information publicly available; or

- (ii) communicate the information to the horse's owner, trainer, trainer's representative or a stable employee or service provider engaged by the trainer or owner and actively and necessarily involved in the care or management of the subject horse.
- (2) For the purposes of this rule:
- (a) Information is "*inside information*" about a horse if:
 - (i) it is not publicly available; and
 - (ii) it would or would be likely to influence persons who commonly bet in deciding whether or not to bet on the horse or making any other betting decision in respect of a race in which the horse is to be run.
 - (b) Information is "*publicly available*" if:
 - (i) it consists of a matter that is readily observable or known by the public;
 - (ii) it has been made known in a manner that would or could bring it to the attention of the public; or
 - (iii) it consists of deductions, conclusions or inferences made or drawn from information referred to in paragraph (i) or (ii).
 - (c) "*Lay*" has the meaning given to that term in AR175B(7). [Rule added 10.7.13]

LR 110B Agreements with Connections

- (1) A trainer, jockey, stablehand or any other person engaged or employed in the training or racing of thoroughbred horses must not:
- (a) enter into an arrangement, agreement or understanding with a wagering operator or a person representing a wagering operator that involves that wagering operator referring to, basing on or seeking to link to any advertising, commentary or promotions with that person;
 - (b) enter into an arrangement, agreement or understanding with a wagering operator or a person representing a wagering operator that confers special privileges or concessions which are prejudicial to the image of racing;
 - (c) accept any gift or inducement that might impair that person's judgment or be perceived to be a conflict of interest, bribe or inappropriate gift;
 - (d) prefer the interests of one owner or group of owners to the interests of another owner or group of owners in the care or management of horses owned by different owners;
 - (e) put that person's secondary interest before or above his or her primary interest; or
 - (f) be influenced by his or her secondary interest over his or her primary interest.
- (2) For the purposes of this rule:
- (a) a "*primary interest*" is the activity for which the person holds a licence or permit from Racing NSW or is engaged in or associated with thoroughbred racing; and
 - (b) a "*secondary interest*" is:
 - (i). any material reward, gift, favour or benefit in kind not directly arising from or in addition to the primary interest;
 - (ii). any favour for any immediate family member or other person with whom the person has a close professional or personal relationship.
- (3) For the purposes of this rule, an owner who holds a financial interest in the horse only and does not play any active role in the training or racing of the horse is not subject to sub-rule (1).
- (4) A bookmaker is not to refer to, base on or seek to link to any advertising, commentary or promotions in any form of media including social media to a family member or other person with whom the person has a close personal or professional relationship engaged in or associated with the training or racing of thoroughbred horses, other than in circumstances where such reference is in the normal course of the bookmaker's wagering operations. [rule added 10.7.13]

Appendix 2. Racing Victoria Local Rules

01/06/2015 Version

<http://rv.racing.com/racing-and-integrity/rules-of-racing>

LR 3 Application and enforcement of these Rules against certain persons

- (1) Without limiting AR 2, these Rules apply to and may be enforced against—
 - (a) a person who expressly agrees to be bound by these Rules, including a person who is the holder of a licence, registration, permit or other authority issued by Racing Victoria;
 - (b) a person who impliedly agrees to be bound by these Rules; and
 - (c) subject to LR 3(2), a relevant person.
- (2) If there is to be an investigation or inquiry in relation to horse racing or wagering or both under these Rules in which these Rules may be applied to and/or enforced against a relevant person (as defined in LR 3(3)):
 - (a) the investigation or inquiry must be initiated by a Steward; and
 - (b) in conducting the investigation or inquiry, the Steward must have reasonable grounds to suspect the relevant person:
 - (i) may have contravened these Rules; or
 - (ii) may be involved in a contravention of these Rules; or
 - (iii) may have knowledge or possession of information as to a contravention of these Rules—because of—
 - (iv) the person's attendance at a race-meeting of horse racing in Victoria; or
 - (v) the person's participation in an activity in connection with or involving horse racing in Victoria or wagering on horse racing in Victoria.
- (3) For the purpose of LR 3, a relevant person means:
 - (a) a person who attends a race-meeting for the purpose of horse racing in Victoria; or
 - (b) a person who participates, whether at a racecourse or any other place, in an activity connected with, or involving, horse racing in Victoria or wagering on horse racing in Victoria.

[LR 3 deleted and replaced 29/1/14]

THE RACING APPEALS AND DISCIPLINARY BOARD

LR 6A Appointment and Functions

- (2) **Function:** The function of the RAD Board is to hear and determine:
 - (a) appeals from the decisions of the Committee of any Racing Club made under the Rules;
 - (b) appeals from the decisions of the Stewards made under the Rules;
 - (c) appeals from the decisions of the RVL Directors in exercising any power conferred on Stewards by the Rules;
 - (d) appeals from the decisions of the RVL Directors to refuse an approval of an off-course premises for remote betting usage under section 4C of the Racing Act 1958 or to cancel or suspend an approval or to vary or refuse to vary an approval condition under section 4D of the Racing Act 1958; and
 - (e) charges laid by the Stewards pursuant to LR 6C(2) and other charges in accordance with LR 6C(6) and (7); and
 - (f) notwithstanding LR 6C(1) or any other rule, any matter referred to it by the RVL Directors, either of the Directors' own motion or upon a recommendation from the Stewards.

[amended 4/4/08, (e) and (f) renumbered 4/10/12, (d) inserted 4/10/12]

LR 7AA Functions and Powers of the Stewards upon appointment by Racing Victoria

- (1) For the purpose of the supervision and control of racing in Victoria, Stewards, upon their appointment under LR 7A, have and may exercise the following powers in accordance with these Rules:
 - (a) to exercise any of the powers set out in AR 8-8D (inclusive);
 - (b) to do anything contemplated by AR 8(z);
 - (c) to penalise any person pursuant to AR 175;
 - (d) to direct or request a person to attend and/or give evidence at any investigation, inquiry or appeal; and
 - (e) to exercise any other power conferred on the Stewards by these Rules or by Racing Victoria.

- (2) In performing their functions and exercising their powers under these Rules, the Stewards:
- (a) have the power to do all things necessary, or convenient to be done, for or in connection with the performance of their functions and the exercise of their powers;
 - (b) may do anything incidental to, and conducive to, the performance of their functions and the exercise of their powers; and
 - (c) are independent to, and act independently of, the Board of Racing Victoria. *[LR 7AB added 1/6/15]*

LR 7D Stewards may prohibit a horse from starting

- (1) Where a prohibited substance is detected by any sample taken from a horse at any place on the day that the horse is entered to run in any race that day, the Stewards may pursuant to their powers under AR 8(m) prohibit that horse from starting in the race.
- (2) Any exercise of power by the Stewards under LR 7D(1) shall be without prejudice to or limitation of any other power or action that the Stewards may exercise. *[added 4/12/08]*

LR 7E Stewards may analyse samples for information

- (1) **Horse Samples:** The Stewards may pursuant to their powers under AR 8(j) cause samples to be taken from horses for the purposes of gathering information in relation to prohibited substances. *[added 4/12/08]*

LR 9 Death of racehorses to be reported

The death of a registered racehorse and the reason therefore if known must be reported forthwith in writing to Racing Victoria:

- (a) in the case of a horse in training: by the trainer.
- (b) in the case of a horse not in training: by the owner.

LR 23B Poorly-performed older horses

A horse must not be entered for any flat race at a race meeting to be held at a Metropolitan Race Meeting if the horse:

- (a) is 5 years old or more; and
- (b) has started in ten or more races on the flat; and
- (c) has not earned \$5,000 in advertised prize money in flat races (excluding VOBIS bonuses and other breeders' bonuses). *[amended 4/3/10]*

LR 23C Unruly or wayward horses

- (1) **Stewards may suspend:** The Stewards may suspend any horse which they consider has been non-competitive, sufficiently unruly or wayward.
- (2) **Suspended horse may not start:** Any horse so suspended must not start in any race until such time as it has performed in an official trial to the satisfaction of the Stewards.*[amended 1/9/09]*

LR 29A Compliance with AR 64K(8)

During the period in which any direction or order with respect to biosecurity precautions are in place in accordance with AR 64K(8):

- (1) it will be the responsibility of each Nominator or trainer (or the Authorised Agent of either of them) to ensure compliance with any direction or order with respect to biosecurity precautions in respect of each Horse of which they are the Nominator or trainer (or the Authorised Agent of either of them);
- (2) each Nominator or trainer (or the Authorised Agent of either of them) will be deemed to have undertaken their own assessment in light of their personal circumstances as to whether the biosecurity precautions are adequate to prevent infection of each Horse of which they are the Nominator or trainer (or the Authorised Agent of either of them); and
- (3) each Nominator or trainer (or the Authorised Agent of either of them) will, if they present a Horse for a race, be deemed to have accepted the relevant biosecurity precautions as reasonably adequate for the protection of that Horse and, further, they will, upon presentation of a Horse to race, be deemed to have released Racing Victoria, its directors and employees from all claims and liabilities in any way relating to:

- (a) the adequacy of the relevant biosecurity precautions; or
- (b) the compliance or failure to comply with the relevant biosecurity precautions by any licensed person or any other person; or
- (c) the infection of any Horse by any infective agent, organism or disease which is the cause of, reason for or subject of any direction or order for biosecurity precautions made in accordance with AR 64K(8). *[LR 29A adopted 7/9/07; amended 1/9/09]*

LR 45 Scratching fee

- (1) **Amount of scratching fee:** Subject to LR 45(2), the trainer of a horse which is withdrawn from a race for any reason, other than because after the time of the final declaration of acceptance the horse has become ineligible to compete under the Rules, must pay the fees as applicable at such time and in such manner as is prescribed by the Directors and published in the Prescribed Fee Schedule. *[amended 1/8/03, 1/9/04, 1/2/11; amended 8/3/12]*
- (2) **Horse withdrawn by Stewards or on veterinary advice:** If a horse is withdrawn from a race:
 - (a) by order of the Stewards; or
 - (b) by any person authorised to do so acting on veterinary advice and that advice is confirmed by a veterinary certificate acceptable to the Stewards and provided to them not later than 5pm on the second business day next following the day of the running of the race from which the horse was withdrawn then:
 - (c) in the case of (a) above the Stewards may, other than in a Group or Listed race where no scratching fee will be payable, make a decision as to whether:
 - (i) the trainer is or is not required to pay the scratching fee pursuant to LR 45(1), or
 - (ii) the trainer is required to pay the veterinary scratching fee as prescribed by the Directors and published in the Prescribed Fee Schedule; or
 - (iii) the veterinary scratching fee need not be paid but the horse so withdrawn will be ineligible to compete at any race meeting in Victoria during any of the thirty days following the Final Scratching Time for that race,
 - (d) in the case of (b) above, the person authorised must advise when lodging the withdrawal which of the options set out in (c)(ii) and (iii) is to apply;
 - (e) the final declaration of acceptance fee (if any) paid in respect of the horse must be refunded; and
 - (f) in the case of the circumstances described in LR 45(2)(b) for Group and Listed races, a veterinary clearance will be required to be submitted to the Stewards before the horse is permitted to start in another race. *[(2) amended 1/8/03, 1/5/04, 1/9/04, 1/2/11; amended 8/3/12]*

LR 50 Approval for horses to start in a race

- (1) **Unraced horse must have approval:** An unraced horse is not permitted to start in a race unless it has obtained the approval of the Stewards to start in a race following its satisfactory performance in a jump-out or an official trial, over at least 600 metres and with at least two other horses.
- (2) **Further approval required after Stewards' warning:** If a trainer receives an official warning from the Stewards in respect of a horse being unruly at the barrier prior to a race or for any other reason, the horse is not permitted to start again in a race unless the trainer has obtained the express approval of the Stewards following the satisfactory performance of the horse in a jump-out or an official trial as directed by the Stewards.
- (3) **Horses to be ridden into the starting stalls:** A horse taking part in a jump-out or official trial for the purpose of obtaining approval from the Stewards pursuant to LR 50(1) or (2) must be ridden into the starting stalls with, if required, the assistance of only one person who may lead it into the stalls.
- (4) **Jump-Outs:** Where a horse is entered in a jump-out for the purpose of obtaining an approval under LR 50(1) or LR 50(2), the trainer or other person in charge of the horse must:
 - (a) have officially named the horse prior to entering into the jump-out; and
 - (b) ensure the horse is wearing racing colours in the jump-out.
- (5) **Prohibited substance:** Where a horse is presented to engage in a jump-out being conducted at private premises for the purpose of obtaining an approval under LR 50(1) or LR 50(2), and a prohibited

substance is detected in any sample taken from it prior to or following such engagement, the trainer and any other person who was in charge of the horse at any relevant time may be penalised.

[LR 50 deleted and replaced 1/1/10]

LR 67 Improper, corrupt or fraudulent behaviour

The Directors or the Stewards may disqualify or otherwise penalise any person who:

- (1) Improperly obtaining information: surreptitiously obtains information respecting:
 - (a) an official trial from any person or persons engaged in it or in the service of the owner or trainer of any of the horses tried; or
 - (b) any horse in training from any person in such service; or
- (2) Conspiracy to commit improper practice: conspires or connives with any other person to commit any improper, corrupt or fraudulent practice or malpractice in relation to racing notwithstanding that any such other person has not been found guilty of the offence in question. *[amended 1/9/09]*

LR 68 Proper precautions where trainer takes over a horse

(1) Requirement: Any trainer or other person to whom AR 177A or AR 178 would apply otherwise than for the reason that he or she was not, at the time of administration of the prohibited substance, the trainer of or in charge of the horse concerned, may be penalised unless he or she satisfies the Committee of the Club or the Stewards that at the time of entry of the horse to his or her stables, he or she had taken all proper precautions to verify that the horse had not had previously administered to it any such prohibited substance.

[amended 1/9/09]

- (2) Required precautions:** For the purposes of this LR 68 and depending on the circumstances, all proper precautions includes in the case of a horse that was previously trained by, pre-trained by or in the charge of another person:
- (a) elective testing to detect whether any prohibited substance had been administered to the horse; or
 - (b) where elective testing could not be undertaken before the horse engaged in any official trial or race, the obtaining of written confirmation from its previous trainer or relevant person that no prohibited substance had been administered such that he or she was reasonably able to determine not to withdraw the horse from such official trial or race.

[amended 1/9/09]

LR 69 Owners and trainers must not employ disqualified persons

An owner or trainer must not without the consent of the Directors employ or keep in his or her employment any person who is and remains disqualified.

LR 69A Further powers in respect of suspended persons

In addition to any of the restrictions that may apply to a suspended person under these Rules, the Principal Racing Authority, the Stewards or the RAD Board who imposed the suspension may order the suspended person:

- (a) not to enter racecourses or designated places at racecourses except at times or on conditions as may be specified in the order;
- (b) not to participate in social media or mainstream media in relation to any racing or wagering matter; and
- (c) to adhere to such other restrictions as may be necessary or desirable to prevent conduct by the suspended person that could be prejudicial to the image or interests or welfare of racing.

[LR 69A added 23/10/13]

LR 69B Further powers in respect of disqualified persons

In addition to any of the restrictions that may apply in respect of a disqualified person under these Rules, the Principal Racing Authority, the Stewards or the RAD Board who imposed the disqualification may order the disqualified person:

- (a) not to participate in social media or mainstream media in relation to any racing or wagering matter; and
- (b) to adhere to such other restrictions as may be necessary or desirable to prevent conduct by the disqualified person that could be prejudicial to the image or interests or welfare of racing.

[LR 69B added

23/10/13]

LR 71 Power to warn off

The power to disqualify any person includes the power to warn off such person.

LR 71A Person subject of an exclusion order

Any person who is the subject of an exclusion order made by the Chief Commissioner of Police under Division 5 of Part 1 of the Racing Act 1958 may, by order of the Stewards or Racing Victoria, be immediately (or from such time as the Stewards or Racing Victoria determine): (a) warned off, disqualified or suspended; and/or (b) excluded from attending any other race meeting held under these Rules, for such time as the exclusion order remains in force.

Appendix 3. Racing QLD local rules

01/02/2015 Version

<http://www.racingqueensland.com.au/Thoroughbred/Industry-Licensing/Rules-and-Policies>

LR 6A Warning off

The control body has the power to warn off any or all racecourses within its control any person whose presence thereon is in the opinion of the Board or the control body not desirable.

LR 22 Stewards – General Provisions

The Stewards may:

- (a) exclude and eject from all racecourses and places under their control:
 - (i) a Disqualified person;
 - (ii) a person warned off the course;
 - (iii) a person whose name is on the Forfeit List and who has not fulfilled his obligations in that regard to their satisfaction;
 - (iv) a person who has been declared by the authorities of any racing, harness racing or greyhound racing club or Control Body in Australia or in any other country to be a defaulter or Disqualified; or
 - (v) a person who is liable to expulsion under the Rules or under any resolution of the authorities of any racing, harness racing or greyhound racing club or controlling body in Australia or in any other country whether such resolution applies to general classes of persons or offences or to particular persons or offences;
- (b) consider and determine any dispute relating to betting;
- (f) suspend any fine or suspension or part thereof imposed by them for a period, not exceeding 12 months, on condition that the offender does not breach the same or any rule of a similar nature within the period of the suspension of penalty. If the offender is not guilty of a breach in the period, the penalty shall be waived. If the offender is convicted of a breach in the period, the Stewards may order the person to serve the original penalty or pay the fine in addition to any penalty imposed for the subsequent breach;
- (g) further to AR 196, in addition to or in place of any penalty imposed, order that a person undertakes a course of action pertaining to rehabilitation;
- (j) permit accredited representatives of the press to be present at, or exclude from, any inquiry subject to any conditions as they may impose.

LR 35 Notifiable disease or condition

- (1) Further to the provisions of A.R64K(1), the Principal Racing Authority may declare an infectious or contagious disease or condition to be a notifiable disease or condition.
- (2) Where a declaration has been made under the Rules the Stewards may:
 - (a) take any measure in their opinion necessary for the purpose of containing or eradicating the disease or condition on a racecourse, training centre, registered stable premises, or other premises where a racehorse is located or trained;
 - (b) require a Licensed person or other relevant person having care or control of a racehorse to:
 - (i) implement biosecurity precautions in the care, control, transport, stabling, handling, riding or training of a racehorse or any other equine located on the premises or likely to have contact with the racehorse or other equine;
 - (ii) vaccinate or comply with the vaccination of a racehorse or other equine stabled or located on the premises or nearby premises or controlled by the person, or that may be located, trained or racing on the premises at any future time; or
 - (iii) restrict or control the access of an unvaccinated racehorse or other equine, person, vehicle or service;
- (3) (a) A trainer shall not permit a horse that has been administered a Hendra virus vaccine to start in any race, official trial or jump-out for seven clear days from the day of the administration of the vaccine.
(b) A trainer must ensure a record of each administration of the Hendra virus vaccine is included in the trainer's record of treatment for such horse in accordance with the requirements of AR178(F)(1).
(c) Any trainer found to be in breach of subsection (a) or (b) of this Rule may be penalised.

(d) Where the Stewards are satisfied that a horse has, or is likely to have been, administered a Hendra virus vaccine within seven clear days prior to a race, official trial or jump-out, the Stewards may prevent the horse from starting in such event.

(e) Where a horse has been administered a Hendra virus vaccine within seven clear days prior to a race, the horse may be disqualified from any relevant race in which it competed.

For the purpose of this Rule, a racehorse shall mean a thoroughbred horse of whatever age that is registered or capable of being registered

LR 53 Handling horse with safety

A person when riding or attendant upon a horse at a Race Meeting or training track owned, operated or controlled by any Club or on land connected therewith, shall at all times wear footwear of a material and design approved by the Stewards.

LR 115 Inquiry may be held in the absence of the person

Should a person required to attend an inquiry fail or refuse to attend after reasonable due notice of the time and place of the inquiry, the Principal Racing Authority or Stewards may proceed to hear the inquiry in the absence of the person or may adjourn the inquiry as they may see fit.

LR 116 Adoption of penalty

(2) A disqualification or warning off notice issued or imposed on a person by a Controlling Body may be adopted by the Principal Racing Authority and the person shall be under the same disabilities as a person who is Disqualified or warned off under the Rules.

LR 118 Prohibited Substances detected in horse engaged in Official Trials

Where a horse is brought to a racecourse or recognised training track to engage in an official trial and a prohibited substance is detected in any sample taken from it either prior to or following the official trial, the trainer or any other person who was in charge of the horse at the relevant time may be penalised.

[added

1.7.11]

LR 117B Special Circumstances for Penalties

For the purposes of these Rules and the imposition of a penalty under AR196(5), a special circumstances may be found if:

(c) the person has

(i) pleaded guilty at an early stage; and

(ii) assisted the Stewards and/or Racing Queensland, after the imposition of a penalty on that person, in the investigation or prosecution of a breach of the Rules; or

(d) the person proves on the balance of probabilities that at the time of the commission of the offence, he or she:

(i) had impaired mental functioning; or

(ii) was under duress that is causally linked to the breach of the Rule and substantially reduces his or her culpability. *[amended 30.07.13]*

(c) in the case of offences under AR178E, the medication in the opinion of the Stewards does not contain a prohibited substance, is of an insignificant nature and is for the welfare of the horse.

(d) the person proves, on the balance of probabilities that, he did not know, ought not to have known or would not have known had he made all reasonable inquiries, that his conduct was in breach of the Rules of Racing. *[paragraph added 1.2.14]*

Appendix 4. Thoroughbred Racing SA Local Rules

01/04/2015 Version

http://www.theracessa.com.au/race_information/stewards/rules_of_racing

LR 4.1 (LR6) Powers of the Board of Thoroughbred Racing SA limited

The Board of Thoroughbred Racing SA Limited shall have power:

(6) To direct any person to make a statutory declaration touching any matter which is or may be the subject of enquiry by the Board or by any person authorised in that behalf by the Board. *[Amended 1/05/05]*

LR 5.7 (LR7) Powers of the Stewards to Enquire

The Stewards may enquire into any incident arising at any official trial or any training track and take appropriate action against any person or persons found guilty of any breach of these Rules and also take any action deemed necessary in respect of any horse in accordance with the Rules.

LR 5.11 (LR10) Power of Stewards to Suspend

The Stewards may suspend from starting for a period any horse which they consider has been uncompetitive, unfit, sufficiently unruly or wayward to warrant such suspension. Any horse so suspended shall not be permitted to accept for any race until it has performed to the satisfaction of Stewards in an official trial.

LR 8.10 Horse Examination and/or Treatment on the Racecourse

Without the permission of the Stewards, no person, other than a Veterinary Surgeon appointed by TRSA Limited or the Registered Club conducting a race meeting or official trials, may examine and/or provide treatment to any horse on the racecourse during the conduct of the race meeting or official trials.

Any Trainer or other person in breach of this Rule, or otherwise party to a breach of this Rule, may be penalised. *[Adopted 1/1/06, Amended 1/1/10]*

LR 20.12 Non Prescribed Medication

If in the exercise of their powers under AR 8B, the Stewards identify and/or take possession of any substance(s) or preparation(s) that have not been prescribed, labelled, dispensed, or otherwise obtained in accordance with the relevant State and Commonwealth legislation, any trainer or other relevant person in charge at the time may be penalised.

LR 31.1 Obstruction of Investigator

Any licensed person who, whilst the Racecourse Investigator is exercising the powers vested in him by AR 8B or otherwise carrying out his duties, refuses to obey any reasonable direction of the Investigator or obstructs, hinders or delays the Investigator in exercising such powers or carrying out his duties, or incites any other person or person to obstruct, hinder or delay the Investigator from exercising such powers or carrying out their duties, or does not act to prevent any other person or persons on the premises from doing so, may be penalised. *[Adopted 1/05/05, Amended 1/1/10]*

LR 31.3 Cobalt

In addition to the prohibited substances referred to in AR.178C, Cobalt, when present at or below a concentration of 200 micrograms per litre in urine, is excepted from the provisions of AR.178B.

[Adopted 1/11/14]

LR 42.1 Prohibited Substance when Trialing

When a horse is presented to engage in a jump-out being conducted on a private training facility for the purpose of obtaining an approval under LR.8.12.1 or LR.8.12.2, and a prohibited substance is detected in any sample taken from it prior to or following such engagement, the trainer and any other person who was in charge of the horse at any relevant time may be penalised. *[Effective 1/8/12]*

* 8.12.1 No horse shall be permitted to start in any race unless, prior to the advertised time for declaration of acceptance, it has obtained the approval of Stewards following a satisfactory performance in an official trial or jump-out.

* 8.12.2 Any horse which, being unruly at the barrier prior to the start of a race or for any other reason, has received an official warning issued by the Stewards or the Official Starter shall not be permitted to start again in any race unless, prior to the advertised time for declaration of acceptance, it has obtained the approval of Stewards following a satisfactory performance in an official trial or jump-out.

Appendix 5. Racing and Wagering WA

01/06/2015 Version

<https://www.rwwa.com.au/home/thoroughbreds-rules-of-racing.html>

LR 6A Persons Under the Rules

Any person who takes part in any matter coming within The RWWA Rules of Thoroughbred Racing shall be held thereby to consent to be bound by them.

LR 7 Powers of Racing Authority

Without derogating from the provisions or generality of AR 7 or AR 7A and in addition to those Rules the Principal Racing Authority may;

- (a) disqualify, either permanently or temporarily any owner, trainer, jockey or any other person associated with racing
- (b) prohibit any person from participating in or associating with racing in any specified capacity
- (c) prohibit any horse from participating in a race or trial
- (d) prohibit any person from attending or taking part in a race meeting or entering upon and remaining on a racecourse at which racing is conducted or any licensed racecourse
- (e) impose fines in accordance with the Act for breaches of the Rules other than breaches by persons who are only bound to the Rules through their attendance at a racemeeting or trial or who are only bound to the Rules through wagering at a racemeeting
- (f) suspend, for such term as the Principal Racing Authority thinks fit, any right or privilege conferred on any owner, trainer, jockey or other person associated with racing
- (g) impose non-pecuniary penalties for breaches of the Rules

LR 8A Powers of Investigators

Any investigator or investigators appointed by the Principal Racing Authority shall have the powers mutatis mutandis as are given to the Stewards under AR. 8B, 8C, 8D, 8(j) and (jj), 8(k)(i) and (ii). *[amended 11/2/14]*

LR 8B No Action Against Authorities

A Steward in the exercise of his powers referred to in AR8B and AR8C shall not thereby commit a trespass thereon and no action shall be brought or maintained against the Stewards or the Principal Racing Authority for any damages or relief in respect of such entry or remainder.

LR10 Outcomes of an Inquiry

Pending the outcome of an inquiry, investigation or objection, or where a person has been charged with an offence, the Stewards may direct one or more of the following-

- (a) that a horse shall not be nominated or compete in an event
- (b) that the horses of certain connections shall not be nominated for or start in an event
- (d) that a licence or any other type of authority or permission be suspended
- (e) that no transfers effecting ownership and/or training, involving that person be effected

LR 64 Suspension of Horse due to Unfitness

- (a) The Stewards may suspend for such period as they consider necessary, any horse which, in their opinion, could cause a danger or hazard in a race, or has not performed to the satisfaction of the Stewards, or has been sufficiently unruly or wayward to warrant such suspension. Any horse so suspended shall not, without the permission of the Stewards, be permitted to start in any race until such time as it has performed in a trial and/or passed veterinary examination to the satisfaction of the Stewards.
- (b) A horse suffering from any infectious disease or any complaint causing discharges from the nostrils will not be permitted on any course.
- (c) A two year old found to be shin sore will not be permitted, without the permission of the Stewards, to start in a race or trial for six weeks

LR 114A Unfitness to Trial or Race

- (1) The Stewards may prevent from starting in a race or trial any horse which in their opinion is lame or shows any defect with the potential to cause injury or which may be suffering from any infectious skin disease.
- (2) If the Stewards shall direct the withdrawal of any horse from any race or trial by reason of such horse being in the opinion of the Stewards, unfit to take part in such race or trial, the Stewards may inflict such penalty on the nominator and/or trainer of such horse as they may determine.
- (3) The trainer and/or his representative, who presents a horse to participate in a trial or work on a training track, shall ensure that such horse is free of any disease or condition, which in the opinion of an official veterinarian may adversely affect the welfare of the horse. Such trainer and/or his representatives may be penalised if found to be in breach of this rule.

LR 175 Possession of Substances

- (1) If in exercising the power under AR8B, the Stewards identify and/or take possession of any quantity of a substance or preparation that could give rise to an offence under AR177B if administered to a horse at any time, then any person in possession of such substance shall be guilty of an offence and liable to penalty pursuant to AR196.
- (2) For the purposes of this Rule, if any substance or preparation is found at any premises used in relation to the training or racing of horses, then any owner, trainer or person who owns, trains, races or is in charge of horses at those premises is deemed to have the drug in their possession.
- (3) It shall be a defence to a charge under this Rule for the person in possession of such substance to prove that the substance was prescribed to them, for use by them, by either a qualified medical practitioner or veterinarian.

[LR175 deleted & replaced 1/10/07]

LR 177A Prohibited Substances at Official Trials

When a horse is brought to a racecourse or recognised training track to engage in an official trial or test and a prohibited substance is detected in any sample taken from it either prior to or following the official trial or test, the trainer and any other person who was in charge of the horse at any relevant time may be penalised.

[added

1/10/07]

LR 182 Disqualification in Other Racing Codes

- (1) Where a person is disqualified or warned off under the RWWA Rules of Greyhound Racing or the RWWA Rules of Harness Racing then, thereupon, the person is taken to be a disqualified or warned off person under these Rules.
- (2) Where a person is declared a defaulter under the RWWA Rules of Greyhound Racing or placed on the unpaid forfeit list under the RWWA Rules of Harness Racing, then, immediately thereupon, the person is taken to be declared to be placed on the forfeit list under these Rules.
- (3) When imposing a period of suspension under the RWWA Rules of Greyhound Racing or the RWWA Rules of Harness Racing the Stewards imposing such penalty may impose the same period of suspension with respect to all licenses held by the person under these Rules.

LR 182A Penalties

- (1) The period of disqualification or warning off of any person, who is disqualified or warned off, who contravenes A.R. 182, shall automatically be deemed to recommence as from the most recent date of such contravention and may also be subject to further penalty.
- (2) The provisions of sub-rule (1) shall apply to any person to which A.R. 182 applies, regardless of when such penalty that gives rise to the application of the rule was imposed.

[added

March 2006]

LR 182B Failure to Comply with Terms of Disqualification

- (1) In the event of a disqualified person failing to -
 - (a) pay any fine or costs imposed by the Controlling Body or Stewards; or
 - (b) return any prize money or trophy won by a horse which has been disqualified; or

(c) comply with any direction issued by Stewards or the Controlling Body as a result of their disqualification

Within the period of time as prescribed or otherwise approved by the Controlling Body or Stewards, then the period of disqualification shall cease to efflux until such time as they have complied in full with their obligations in this regard.

(2) Where the matters referred to above are pending the outcome of an appeal or subject to a formal order of a stay of proceedings, the operation of this rule shall not apply until that appeal is determined.

[added GG 1/8/14]

Appendix 6. Tasracing Local Rules

01/07/2015 Version

<http://tasracing.com.au/thoroughbreds/rules-of-racing/>

LR 4 Special Powers of Tasracing, Committees, Stipendiary Stewards

(4.8) The Stewards may inquire into any incident at any Race meeting and at any organised Trial or Training Establishment at any course and take appropriate action against any person or persons found guilty of any breach of the Rules and also take any action deemed necessary in respect of any horse in accordance with the Rules. The Stewards referred to in this Rule, shall be members of the Panel of Stewards appointed under the Racing Regulation Act 2004 and shall comprise not less than three in number.

(4.10) In any Stewards inquiry into or adjudication upon the conduct of any official, licensed person, person attendant on, or connected with, a horse or any other person attending a course, any such official or person shall have no right to be legally represented at such inquiry or adjudication, provided that an Apprentice Jockey may be represented by his Master or a person approved by the Stewards acting for his Master.

(4.11) The Stewards may suspend from starting, for a period as they think fit, any horse which they consider has been unruly, wayward or uncompetitive.

LR 14 Horse Withdrawn By Stewards or On Veterinary Advice

(14.6) If a horse is withdrawn from a race:

(a) by order of the Stewards; or

(b) by any person authorised to do so acting on veterinary advice and that advice is confirmed by a veterinary certificate acceptable to the Stewards and provided to them not later than 5pm on the second business day next following the day of the running of the race from which the horse was withdrawn then:

(c) in the case of (a) above the Stewards may, other than in a Group or Listed race where no scratching fee will be payable, make a decision as to whether:

(i) the trainer is or is not required to pay the scratching fee; or

(ii) the trainer is required to either pay the veterinary scratching fee as determined by Tasracing; or

(iii) the veterinary scratching fee need not be paid but the horse so withdrawn will be ineligible to compete at any race meeting in Tasmania during any of the thirty days following the Final Scratching Time for that race.

(d) in the case of (b) above, the person authorised must advise when lodging the withdrawal which of the options set out in (c), (ii) and (iii) is to apply;

(e) the final declaration of acceptance fee (if any) paid in respect of the horse must be refunded; and

(f) in the case of the circumstances described in LR 14.6(b) for Group & Listed races, a veterinary clearance will be required to be submitted to the Stewards before the horse is permitted to start in another race.

(14.7) If no veterinary certificate is received by the Stewards within the prescribed time under LR 14.6(b) the scratching fee will apply and the condition set out in LR 14.6(c)(ii) will not apply.

LR 25 Regulations Controlling Tasmanian Race Courses and Training Tracks

(25.7) Horses suffering from skin disease, influenza or any condition causing discharge from the nostrils may be excluded from the training establishment or a Course, at the discretion of the Track Official or Stewards.