

CALIFORNIA HORSE RACING BOARD

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MEDICATION, SAFETY AND WELFARE COMMITTEE MEETING

Of the **Medication, Safety and Welfare Committee** of the **California Horse Racing Board** will be held on **Wednesday, February 12, 2020**, commencing at **10:30 a.m.**, at the **Kenneth L. Maddy Laboratory at the University of California Davis, 620 West Health Sciences Drive, Davis, California**. Non-committee Board members attending the committee meeting may not participate in the public discussion, official committee vote, or committee closed session.

AGENDA

Action Items:

1. **Report and Discussion of Maddy Equine Pharmacology Program** - *Dr. Rick Arthur and Dr. Heather Knych*
2. **Report and Discussion of Current and Future Drug Testing Challenges** - *Dr. Rick Arthur, Dr. Heather Knych, and Dr. Ben Moeller*
3. **Report and Discussion on PET update** - *Dr. Mathieu Spriet*
4. Discussion regarding the **proposed amendments to CHRB Rule 1501, Worker's Compensation Insurance Required, and Rule 1502, Program Trainer Prohibited**, to clarify the parameters of program training prohibition.
5. Discussion regarding the **proposed amendments to CHRB Rule 1685, Equipment Requirement**, to modify riding crop specifications and require racetracks to supply and control riding crops.
6. Discussion regarding the **CHRB Medication Penalty Guidelines pursuant to CHRB Rule 1843.3, Penalties for Medication Violations, and proposed guidelines for related violations**.
7. **General Business:** Communications, reports, requests for future actions of the Committee.

Additional information regarding this meeting may be obtained from Amanda Drummond at the CHRB Administrative Office, 1010 Hurley Way, Suite 300, Sacramento, CA 95825; telephone (916) 263-6000; fax (916) 263-6042. A copy of this notice can be located on the CHRB website at www.chrb.ca.gov. *Information for requesting disability related accommodation for persons with a disability who require aids or services in order to participate in this public meeting, should contact Amanda Drummond.

**MEDICATION, SAFETY AND WELFARE
COMMITTEE**

Gregory L. Ferraro, DVM, Chairman

Alex Solis, Member

Rick Baedeker, Executive Director

Cynthia Alameda, Assistant Executive Director

Standing PET Santa Anita



Grayson-Jockey Club
Research Foundation



LONG MILE
Veterinary PET Imaging



UC DAVIS
VETERINARY MEDICINE

Standing Racehorse Example 1

From: 0.0000 To: 15.3110

S



From: 0.0000 To: 15.0346

S



AR

PL

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Grayson-Jockey Club
Research Foundation

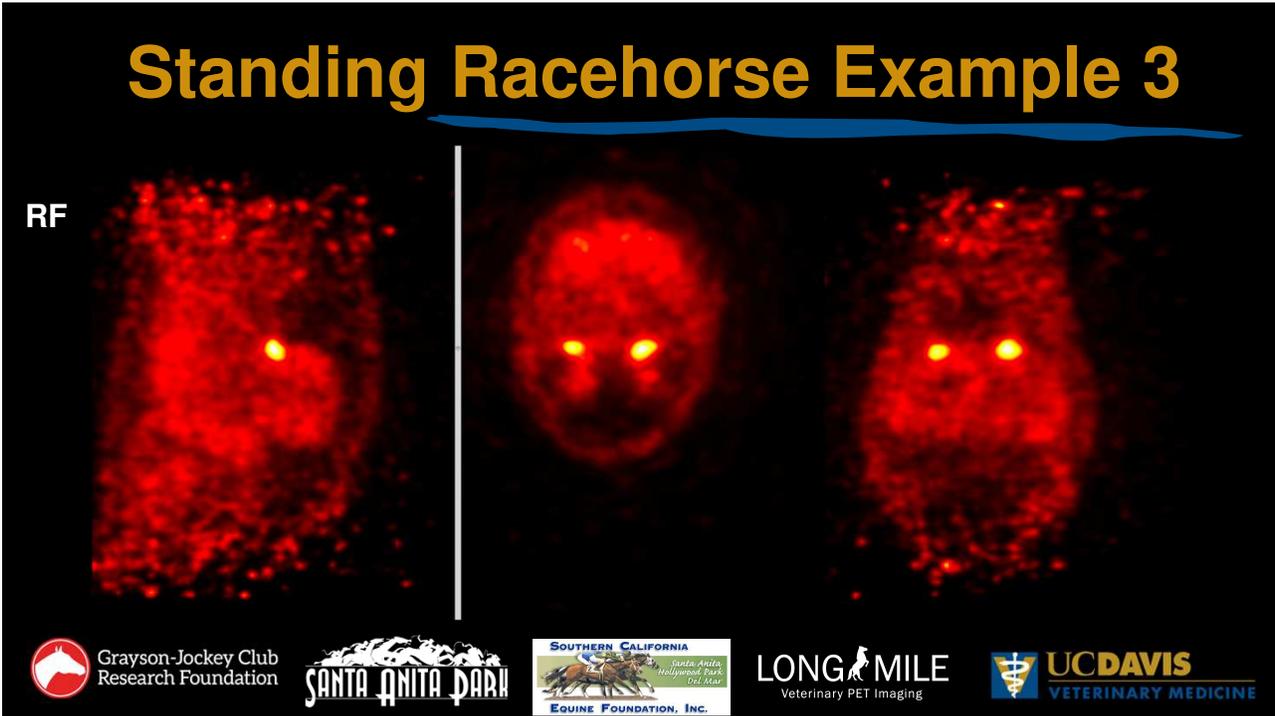


LONG MILE
Veterinary PET Imaging

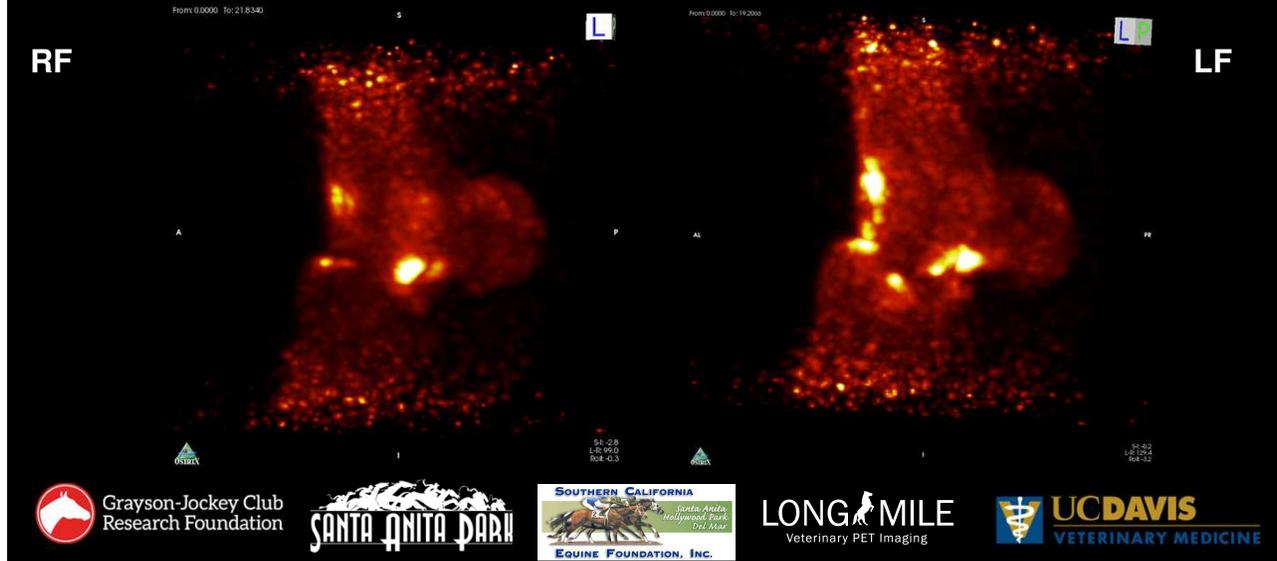


UC DAVIS
VETERINARY MEDICINE

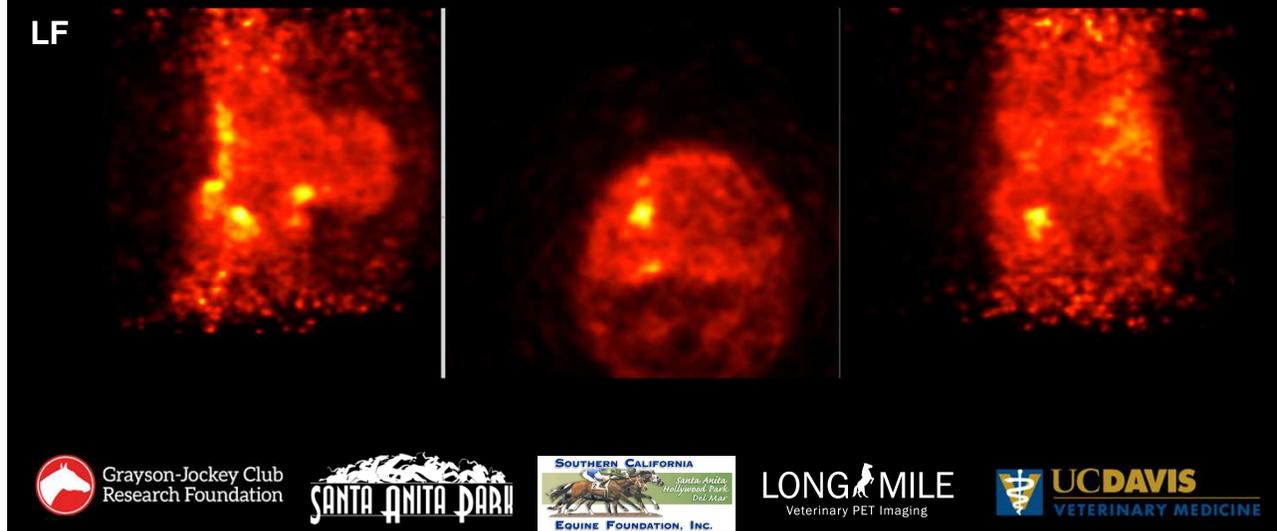




Standing Racehorse Example 4



Standing Racehorse Example 4



Openable Standing PET (MILE-PET)



- Openable ring of detectors
- Foot to carpus imaging
- Axial Field of View 8 to 22cm
- Scan time 3 to 12 min / site

LONG MILE
Veterinary PET Imaging

UC DAVIS
VETERINARY MEDICINE

Standing PET Santa Anita



 Grayson-Jockey Club
Research Foundation

SANTA ANITA PARK

SOUTHERN CALIFORNIA
Santa Anita
Hollywood Park
Del Mar
EQUINE FOUNDATION, INC.

LONG MILE
Veterinary PET Imaging

UC DAVIS
VETERINARY MEDICINE

STAFF ANALYSIS

DISCUSSION REGARDING THE PROPOSED AMENDMENTS TO CHRB RULE 1501, WORKER'S COMPENSATION INSURANCE REQUIRED, AND RULE 1502, PROGRAM TRAINER PROHIBITED, TO CLARIFY THE PARAMETERS OF PROGRAM TRAINING PROHIBITION

Medication, Safety, and Welfare Committee Meeting
February 12, 2020

BACKGROUND:

The trainer plays a vital role in the conditioning and training of a horse prior to a race. The decisions the trainer makes about training, workouts, and rest can affect the performance of the horse. The trainer is also ultimately responsible for the condition of the horse prior to entry to race, and to ensure the horse is free of medications, illicit substances, is healthy to run, and fit to compete.

Given the great responsibility placed on a trainer, there exists a risk to the industry and the wagering public through "program" or "paper" trainers. A program trainer is generally a licensed trainer who is listed on the official race program as the trainer of record for the entered horse. In reality this is in name only, as the actual training and conditioning of the horse has been completed by someone other than the listed trainer. Program training is unfair to both the wagering public and other licensees because the person responsible for the training of the horse is unknown.

Although instances of program training are pursued against licensees who engage in such behavior, the proposed amendments to [Board Rule 1501](#) and [1502](#) seek to clarify and expressly prohibit this activity.

ANALYSIS:

The proposed amendment to Board Rule 1501 will add a subsection (b) which states, "No licensee, for the purpose of avoiding the requirements for workmen's compensation insurance as set forth in this article, shall place any horse in the care of or attendance of any other person." This subsection was originally found in Board Rule 1502 but is being moved for clarity purposes as it relates to worker compensation insurance requirements.

The proposed amendment to Board Rule 1502 will clarify that program training is prohibited and any licensee who engages in program training may be suspended or fined. This is necessary to clarify that any licensee who engages in program training will be held liable for their actions. Subsection (b) states, "a licensed trainer is identified as the trainer of record in the official program but has not engaged in the actual training of the horse either personally or through the assistant trainer." Subsection (c) is amended to state, "Actual training, as it is used in this regulation, shall mean any

responsibility required of a licensed trainer under this division or any act traditionally performed by a licensed trainer including but not limited to: (1) determining when a horse will walk, gallop or workout; (2) determining the feed or supplements given to the horse; (3) consulting with a licensed veterinarian when needed.” This subsection is necessary to clarify what actions constitute training.

RECOMMENDATION:

This item is presented for Committee discussion.

CALIFORNIA HORSE RACING BOARD
TITLE 4. CALIFORNIA CODE OF REGULATIONS
ARTICLE 4. OCCUPATIONAL LICENSES
PROPOSED AMENDMENT OF
RULE 1501 WORKERS COMPENSATION INSURANCE REQUIRED
AND PROPOSED AMENDMENT OF 1502 PROGRAM TRAINER PROHIBITED

1501. Worker's Compensation Insurance Required.

(a) No person may be licensed as a trainer, owner, trainer-driver, or in any other capacity in which such person acts as the employer of any other licensee at any authorized race meeting, unless his liability for worker's compensation has been secured in accordance with the Labor Code of the State of California and until evidence of such security for liability is provided the Board. Should any such required security for liability for worker's compensation be cancelled or terminated, any license held by such person shall be automatically suspended and shall be grounds for revocation of the license. The trainer of a public stable shall provide evidence that the policy of insurance securing his liability for worker's compensation has been endorsed or amended to include, as an additional insured, each person for whom he trains horses to the extent that such person is exposed to liability as the employer of a jockey, unless such person has procured coverage for such exposure and has furnished evidence of such coverage to the Board.

(b) No licensee, for the purpose of avoiding the requirements for workmen's compensation insurance as set forth in this article, shall place any horse in the care of or attendance of any other person.

1502. Program Trainer Training Prohibited

~~No licensed trainer, for the purpose of avoiding the requirements for workmen's compensation insurance as set forth in this article, shall place any horse in the care of or attendance of any other person.~~

(a) Program training is prohibited. Any licensee engaged in program training may be suspended or fined by the stewards.

(b) Program training occurs when:

(1) a licensed trainer is identified as the trainer of record in the official program but has not engaged in the actual training of the horse either personally or through the assistant trainer

(c) Actual training, as it is used in this regulation, shall mean any responsibility required of a licensed trainer under this division or any act traditionally performed by a licensed trainer including but not limited to:

(1) determining when a horse will walk, gallop or workout;

(2) determining the feed or supplements given to the horse;

(3) consulting with a licensed veterinarian when needed.

STAFF ANALYSIS
DISCUSSION AND ACTION BY THE BOARD REGARDING THE PROPOSED
AMENDMENTS TO CHRB RULE 1685, EQUIPMENT REQUIREMENT, TO MODIFY
RIDING CROP SPECIFICATIONS AND REQUIRE RACETRACKS TO SUPPLY AND
CONTROL RIDING CROPS

Medication, Safety, and Welfare Committee Meeting
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ISSUE:

The current California Horse Racing Board (Board) [Rule 1685](#) is designed to prevent abuse through use and construction of the riding crop. The current language is the result of a 2010 amendment to transition to the “cushion crop”, a crop design that implements a soft padded material on the tip and has a rounded tip without hard edges. Starting in 2007, the Jockey’s Guild (Guild) began advocating for the cushion crop design as a “kinder” alternative that was gentler on horses and better protected the horses’ health and safety compared to the prior crop design. However, Ramón Dominguez, a retired jockey, has since developed a newer riding crop design called the 360 Gentle Touch (360 GT) that is more “equine friendly” than the current cushion crop. The 360 GT has no stitching and the popper is made of soft but durable foam. The popper on the 360 GT is wider and longer than a cushion crop, and the density and size of the popper makes the crop flex more as it travels through the air compared to the cushion crop. The foam popper causes the tip to bounce off a horse when struck without leaving a sting. The lack of stitching on the popper avoids causing welts or cuts when striking a horse.

On May 8, 2019, Mr. Dominguez proposed new language to the Board to amend Board Rule 1685 to incorporate the specifications of the 360 GT and to require jockeys and riders to use crops with cylindrical soft foam poppers that lack exterior stitching. Under existing language, the 360 GT is authorized only when approved by Stewards, pursuant to subsection (d) of Board Rule 1685.

At the January 22, 2020 regular Board meeting, the Board heard testimony from Mr. Dominguez and from representatives of the Guild regarding amendments to Board Rule 1685. Mr. Dominguez proposed modifications to the language in the proposed amendment that would allow for a popper consisting of a single material, as well as require that the popper material be waterproof. He also proposed that the term “width” be replaced with the term “diameter” because diameter is a more accurate measurement for a cylinder and is more consistent with language requiring a cylindrical popper. Additionally, representatives of the Guild proposed striking proposed language that provided for all riding crops to be supplied by the racing association or fair conducting the race. The Board unanimously supported the decision to strike proposed subsection (e) which required racing associations or fairs to supply the riding crop.

ANALYSIS:

The text of the proposed amendment to Board Rule 1685 incorporates the specifications for the 360 GT riding crop. The proposed text specifies that the shaft of the riding crop shall have a cylindrical, soft, foam popper instead of the soft, leather flap with a foam interior popper specified in the current text. The proposed text also specifies that there be no binding on the exterior of the soft tube at the end of the shaft. The cylindrical foam popper has no hard edges from folds or seams in contrast to the current cushion crops, and the lack of stitching or binding prevents the accidental strike along the edge or seam of the cushion crop from causing welts or cuts. The proposed amendment to Board Rule 1685 provides that the foam popper will be crafted from closed cell foam, memory foam, or material of a similar shock-absorbing material that is waterproof to preserve the softness and shock absorption qualities during use under all conditions and durable enough to withstand the rigors of regular use without breaking down or hardening over time. The proposed specification of material makeup and quality ensures that the riding crop, which is used in outdoor environments exposed to weather and dirt, will not breakdown and malfunction during a race and risk accidentally harming a horse during use. The proposed amendment also removes reference to inner and outer layers in the material specifications to allow for a popper that consists of one material, as the 360 GT is made with a single layer foam popper. Additionally, the material specifications ensure that the shock absorption qualities of the popper will prevent causing the horse pain but will still be effective in allowing a jockey or rider to direct and encourage the horse because the cylindrical foam popper is designed to produce significant noise to catch a horse's attention. The proposed amendment to Board Rule 1685 also provides that the popper has a minimum diameter of 0.8 inches, a reduction from the current minimum width of 1 inch to allow for a more tapered popper, and a change in the term of measurement from "width" to "diameter" to maintain consistency with the proposed language which provides for a cylindrical popper. The proposed language is specific enough to allow for the safety of horses, but still broad enough to allow for other riding crops outside of the GT 360 that meet these specifications, as well as allow for modifications for jockey preference.

The proposed amendments to Board Rule 1685 also remove new subsection (e) which indicates that riding crops will be the property of the racetrack and must be checked out to jockeys or riders daily. The removal of this proposed subsection will maintain the use of personal riding crops, subject to subsection (d) which provides that all riding crops are subject to inspection and approval by the stewards. This continues the practice of stewards performing unannounced checks of riding crops to inspect them for unauthorized alterations.

Additionally, the current 360 GT has a circumference of 3 1/8 inches, which falls under the minimum requirements of subsection (c)(1) requiring a minimum circumference of 3 inches for riding crops, but planned modifications to the 360 GT will bring the circumference to slightly less than 3 inches in diameter. The proposed amendment modifies the minimum circumference to 2.5 inches to allow for a more tapered popper.

BACKGROUND:

[Business and Professions Code \(BPC\) section 19420](#) provides that the California Horse Racing Board (Board) shall have jurisdiction and supervision over meetings in California where horse races with wagering on their results are held or conducted, and over all persons or things having to do with the operation of such meetings. [BPC section 19440](#) states the Board shall have all powers necessary and proper to enable it to carry out fully and effectually the purposes of Chapter 4 of the BPC. Responsibilities of the Board shall include, but not be limited to, adopting rules and regulations for the protection of the public and the control of horse racing and pari-mutuel wagering. [BPC section 19481](#) provides that in performing its responsibilities, the Board shall establish safety standards governing equipment for horse and rider.

RECOMMENDATION:

This item is presented for Committee discussion and action.

CALIFORNIA HORSE RACING BOARD
TITLE 4. CALIFORNIA CODE OF REGULATIONS
ARTICLE 8. RUNNING THE RACE
PROPOSED AMENDMENT OF
RULE 1685 EQUIPMENT REQUIREMENT

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1685. Equipment Requirement

(a) No bridle shall weigh more than two (2) pounds.

(b) Riding crops allowed for use in flat racing and training shall be unaltered from the original manufacturer; shall have shaft and ~~flap (popper)~~ cylindrical soft foam popper; shall weigh no more than 8 ounces and shall not be more than 30 inches in length.

(1) The minimum diameter of the shaft shall be 0.5 inches, with a smooth, padded contact area that has no protrusions or raised surface.

(c) The only allowed attachment to the shaft is the ~~flap (popper)~~ cylindrical soft foam popper, which shall not extend more than 1 inch beyond the end of the shaft.

(1) The ~~flap (popper)~~ cylindrical soft foam popper shall have a ~~width~~ diameter of not less than ~~40.8 inches~~, or more than 1.5 inches; shall have a minimum length of 7 inches; and a minimum circumference of ~~32.5 inches~~ measured around the width. The ~~flap (popper)~~ cylindrical soft foam popper shall have no reinforcements or additions beyond the end of the shaft, and no binding ~~within 7 inches of the end of the shaft~~ anywhere on the exterior of the soft tube at the end of the shaft.

(2) The ~~flap (popper)~~ cylindrical soft foam popper shall ~~be folded over and sewn down each side. It shall have an inner layer~~ consisting of memory foam, closed cell foam, or a similar shock-absorbing material, and ~~an outer layer that is~~ shall be dark in color, waterproof and made of material that does not harden over time.

(d) All riding crops are subject to inspection and approval by the stewards.

NOTE: Authority cited: Sections 19420 and 19440, Business and Professions Code. Reference: Sections 19441.2 and 19481, Business and Professions Code.

HISTORY:

1. Amendment filed 4-15-93; effective 5-17-93.
2. Amendment filed 1-9-96; effective 2-8-96.
3. Amendment filed 3-29-10; effective 4-28-10.
4. Amendment filed 1-25-18; effective 4-1-18.

STAFF ANALYSIS
DISCUSSION REGARDING THE CHRB MEDICATION PENALTY GUIDELINES
PURSUANT TO CHRB RULE 1843.3, PENALTIES FOR MEDICATION VIOLATIONS,
AND PROPOSED GUIDELINES FOR RELATED VIOLATIONS

Medication, Safety, and Welfare Committee Meeting
February 12, 2020

ISSUE:

At the November 2019 regular California Horse Racing Board (Board) meeting, Executive Director Rick Baedeker reported that Governor Gavin Newsom had asked the Board to prepare a list of recommendations designed to improve the welfare and safety of the racehorse. During the meeting, Executive Director Baedeker provided an overview of the recommendations which included a complete review of the penalty guidelines.

ANALYSIS:

The penalty guidelines are outlined in Board Rule 1843.3, Penalties for Medication Violations, and are modeled after the Association of Racing Commissioners International (RCI) Penalty Guidelines. The RCI Penalty Guidelines were last modified in January of 2020 and are included for reference.

A proposed amendment to Board Rule 1843.3 is currently going through the regulatory process and is scheduled to be heard at the February regular Board meeting. The proposed amendment will modify subsection (d) to add penalties for a fourth violation involving Category "C" substances. A fourth violation will require a minimum 15-day suspension and a fine of \$2,500. Any subsequent violations will require a greater suspension and fine than the previous violation. In addition, the proposed amendment will remove Category "C" penalties for Board Rule 1844(c) nonsteroidal anti-inflammatory drug (NSAID) violations as such substances will no longer be authorized for horses entered to race.

Additionally, the Committee may wish to consider adding an additional category for penalties regarding shock wave therapy violations. Currently, the proposed addition of Board Rule 1866.2, Shockwave Therapy Restricted, contains subsection (i) which indicates that a violation of this rule is subject to a Category A penalty, pursuant to Board Rule 1843.3.

BACKGROUND:

[Business and Professions Code \(BPC\) section 19440](#) provides that the Board shall have all powers necessary and proper to enable it to carry out fully and effectually the purposes of this chapter. Responsibilities of the Board shall include adopting rules and regulations

for the protection of the public and the control of horse racing and pari-mutuel wagering. [BPC section 19580](#) requires the Board to adopt regulations to establish policies, guidelines, and penalties relating to equine medication to preserve and enhance the integrity of horse racing in California.

RECOMMENDATION:

This item is presented for Committee discussion and action.

CALIFORNIA HORSE RACING BOARD
TITLE 4. CALIFORNIA CODE OF REGULATIONS
ARTICLE 15. VETERINARY PRACTICES
RULE 1843.3 PENALTIES FOR MEDICATION VIOLATIONS

Medication, Safety, and Welfare Committee Meeting
February 12, 2020

- (a) In reaching a decision on a penalty for a violation of Business and Professions Code section 19581, the Board, the board of stewards, the hearing officer or the administrative law judge shall consider the penalties set forth in subsections (d) and (e) of this Rule and any aggravating and mitigating circumstances. Deviation from these penalties is appropriate where the facts of the particular case warrant such a deviation, for example: there may be mitigating circumstances for which a lesser or no penalty is appropriate, and aggravating factors for which a greater penalty is appropriate.
- (b) Mitigating circumstances and aggravating factors, which must be considered, include but are not limited to:
 - (1) The past record of the licensee regarding violations of Business and Professions Code section 19581;
 - (2) The potential of the drug(s) to influence a horse's racing performance and the amount of the drug present;
 - (3) The legal availability of the drug and whether the drug was prescribed to the horse by a California Horse Racing Board (CHRB) licensed veterinarian;
 - (4) Whether there is reason to believe the responsible party knew of the administration of the drug or intentionally administered the drug;
 - (5) The steps taken by the trainer to safeguard the horse;
 - (6) The steps taken by an owner to safeguard against subsequent medication violations including, but not limited to, the transfer of the horse(s) to an unaffiliated trainer;
 - (A) "Unaffiliated trainer" means a trainer or an assistant trainer who is not related by blood, marriage or domestic partnership, or who is not or was never employed by the trainer from whose care such horse(s) were transferred.
 - (7) The probability of environmental contamination or inadvertent exposure due to human drug use or other factors;
 - (8) The purse of the race;
 - (9) Whether the drug found to be present in the official test sample was one for which the horse was receiving treatment as determined and documented through the process described in Rule 1842 of this division;
 - (10) Whether there was any suspicious wagering pattern on the race;
 - (11) Whether the licensed trainer was acting under the advice of a CHRB licensed veterinarian.
- (c) The Board shall consider the classification of a drug substance as referred to in Rule 1843.2 of this division and the California Horse Racing Board (CHRB) Penalty Categories Listing by Classification, (Revised 4/15), which is hereby incorporated by reference, if a determination is made that an official test sample from a horse contained:
 - (1) Any drug substance, medication, metabolites or analogues thereof foreign to the horse, whose use is not expressly authorized in this division, or
 - (2) Any drug substance, medication or chemical authorized by this article in excess of the authorized level or other restrictions as set forth in the article.
- (d) Penalties for violation of each classification level are as follows:

CATEGORY “A” PENALTIES

Penalties for violations due to the presence of a drug substance in an official test sample, which CHRB drug classification is categorized as warranting a Category A penalty are as follows:

LICENSED TRAINER:		
1st offense	2nd LIFETIME offense	3rd LIFETIME offense
<ul style="list-style-type: none"> • Minimum one-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a three-year suspension. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Minimum fine of \$10,000 or 10% of gross purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$25,000 or 25% of purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • May be referred to the Board for any further action deemed necessary by the Board. 	<ul style="list-style-type: none"> • Minimum two-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a three-year suspension. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Minimum fine of \$20,000 or 25% of gross purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$50,000 or 50% of purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • May be referred to the Board for any further action deemed necessary by the Board. 	<ul style="list-style-type: none"> • Minimum three-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of permanent license revocation. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Minimum fine of \$25,000 or 50% of gross purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$100,000 or 100% of purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • May be referred to the Board for any further action deemed necessary by the Board.
LICENSED OWNER:		
1st offense	2nd LIFETIME offense in owner's stable	3rd LIFETIME offense in owner's stable
<ul style="list-style-type: none"> • Disqualification of horse and loss of purse. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Horse may be placed on the veterinarian's list for up to 90 days and must pass a Board-approved examination pursuant to Rule 1846 before becoming eligible to be entered. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Be subject to drug testing at the owner's expense and be negative for prohibited drug substances as defined in Rule 1843.1. 	<ul style="list-style-type: none"> • Disqualification of horse and loss of purse. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Horse shall be placed on the veterinarian's list for up to 120 days and must pass a Board-approved examination pursuant to Rule 1846 before becoming eligible to be entered. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Be subject to drug testing at the owner's expense and be negative for prohibited drug substances as defined in Rule 1843.1. 	<ul style="list-style-type: none"> • Disqualification of horse, loss of purse, and absent mitigating circumstances minimum fine of \$10,000. The presence of aggravating factors could be used to impose a maximum fine of \$50,000. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Horse shall be placed on the veterinarian's list for up to 180 days and must pass a Board-approved examination pursuant to Rule 1846 before becoming eligible to be entered. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Be subject to drug testing at the owner's expense and be negative for prohibited drug substances as defined in Rule 1843.1. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Referral to the Board with a recommendation of a suspension of owners license for a minimum of 90 days.

CATEGORY “B” PENALTIES

Penalties for violations due to the presence of a drug substance in an official test sample, which CHRB drug classification is categorized as warranting a Category B penalty are as follows:

LICENSED TRAINER:		
1st offense	2nd offense (within two year time period)	3rd offense (within five year time period)
<ul style="list-style-type: none"> • Minimum 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 60-day suspension. <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> • Minimum fine of \$500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$10,000. 	<ul style="list-style-type: none"> • Minimum 60-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension. <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> • Minimum fine of \$1,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$20,000. 	<ul style="list-style-type: none"> • Minimum 90-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a one-year suspension. <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> • Minimum fine of \$2,500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$50,000 or 10% of purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • May be referred to the Board for any further action deemed necessary by the Board.
LICENSED OWNER:		
1st offense	2nd offense in stable (within two year time period)	3rd offense in stable (within five year time period)
<ul style="list-style-type: none"> • Disqualification of horse and loss of purse. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Horse must pass a Board-approved examination pursuant to Rule 1846 before becoming eligible to be entered. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Be subject to drug testing at the owner’s expense and be negative for prohibited drug substances as defined in Rule 1843.1. 	<ul style="list-style-type: none"> • Disqualification of horse and loss of purse. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Horse must pass a Board-approved examination pursuant to Rule 1846 before becoming eligible to be entered. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Be subject to drug testing at the owner’s expense and be negative for prohibited drug substances as defined in Rule 1843.1. 	<ul style="list-style-type: none"> • Disqualification of horse, loss of purse, and absent mitigating circumstances, minimum fine of \$5,000. The presence of aggravating factors could be used to impose a maximum fine of \$20,000. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Horse shall be placed on the veterinarian’s list for up to 45 days and must pass a Board-approved examination pursuant to Rule 1846 before becoming eligible to be entered. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Be subject to drug testing at the owner’s expense and be negative for prohibited drug substances as defined in Rule 1843.1.

CATEGORY “B” PENALTIES FOR RULE 1843.6 TOTAL CARBON DIOXIDE (TCO₂) TESTING

Penalties for violations due to exceeding permitted levels of TCO₂ as defined in Rule 1843.6 are as set forth below. All concentrations are for measurements in serum or plasma.

LICENSED TRAINER:		
1st offense TCO₂ (> 37.0 mmol/l - <39 mmol/l)	2nd offense TCO₂ (> 37.0 mmol/l - <39 mmol/l)	3rd offense TCO₂ (> 37.0 mmol/l - <39 mmol/l)
<ul style="list-style-type: none"> Up to a 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 60-day suspension. <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> Minimum fine of \$1,500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$5,000. 	<ul style="list-style-type: none"> Minimum 60-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 120-day suspension. <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> Minimum fine of \$2,500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$10,000. 	<ul style="list-style-type: none"> Minimum 90-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension. <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> Minimum fine of \$5,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$15,000.
LICENSED OWNER:		
1st offense TCO₂ (> 37.0 mmol/l - <39mmol/l)	2nd offense TCO₂ (> 37.0 mmol/l - <39 mmol/l)	3rd offense TCO₂ (> 37.0 mmol/l - <39 mmol/l)
<ul style="list-style-type: none"> Disqualification of horse and loss of purse. 	<ul style="list-style-type: none"> Disqualification of horse and loss of purse. 	<ul style="list-style-type: none"> Disqualification of horse, loss of purse and in the absence of mitigating circumstances, \$2,500 fine.
LICENSED TRAINER:		
1st offense TCO₂ (≥ 39.0 mmol/l)	2nd offense TCO₂ (≥ 39.0 mmol/l)	3rd offense TCO₂ (≥ 39.0 mmol/l)
<ul style="list-style-type: none"> Minimum 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 60-day suspension. <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> Minimum fine of \$2,500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$10,000. 	<ul style="list-style-type: none"> Minimum 60-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension. <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> Minimum fine of \$5,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$15,000. 	<ul style="list-style-type: none"> Minimum 90-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 365-day suspension. <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> Minimum fine of \$10,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$25,000.
LICENSED OWNER:		
1st offense TCO₂ (≥ 39.0 mmol/l)	2nd offense TCO₂ (≥ 39.0 mmol/l)	3rd offense TCO₂ (≥ 39.0 mmol/l)
<ul style="list-style-type: none"> Disqualification of horse and loss of purse. 	<ul style="list-style-type: none"> Disqualification of horse and loss of purse. 	<ul style="list-style-type: none"> Disqualification of horse, loss of purse and a fine ranging from a minimum of \$5,000, up to a maximum of \$20,000.

CATEGORY “C” PENALTIES

Penalties for violations due to the presence of a drug substance in an official test sample, which CHRB drug classification is categorized as warranting a Category C penalty and for the presence of more than one non-steroidal anti-inflammatory (NSAID) in a plasma/serum sample, as defined in Rule 1844 of this division, and furosemide as defined in Rule 1845 of this division in an official test sample are as set forth below. All concentrations are for measurements in serum or plasma.

LICENSED TRAINER:		
1st offense	2nd offense (within 365-day period)	3rd offense (within 365-day period)
<ul style="list-style-type: none"> • Minimum fine of \$500 to a maximum fine of \$1,000 absent mitigating circumstances. 	<ul style="list-style-type: none"> • Minimum fine of \$1,000 to a maximum fine of \$2,500, and up to a 15-day suspension absent mitigating circumstances. 	<ul style="list-style-type: none"> • Minimum fine of \$2,500 and up to a 30-day suspension absent mitigating circumstances.

CATEGORY “C” PENALTIES FOR RULE 1844, AUTHORIZED MEDICATION (C) (1), (2), (3)

Penalties for violations due to overages for permitted non-steroidal anti-inflammatory drug substances (NSAIDs) as defined in Rule 1844 (c) (1), (2) and (3) of this division. All concentrations are for measurements in serum or plasma.

The official veterinarian shall consult with the treating veterinarian in all violations of 1844 (c). If the trainer has not had an 1844 (c) violation within the previous three years, the board of stewards may issue a warning in lieu of a fine for violations of 1844 (c)(1), phenylbutazone, provided the reported level is below 5.1 mcg/ml.

LICENSED TRAINER:	Phenylbutazone (2.1-<5.0 mcg/ml) Flunixin (20-<100 ng/ml) Ketoprofen (2 -< 50 ng/ml)	Phenylbutazone (2.1-<5.0 mcg/ml) Flunixin (20-<100 ng/ml) Ketoprofen (2 -< 50 ng/ml)
1st offense	2nd offense (within 365-day period)	3rd offense (within 365-day period)
<ul style="list-style-type: none"> • Minimum fine of \$500 to a maximum fine of \$1,000. 	<ul style="list-style-type: none"> • Minimum fine of \$1,000 to a maximum fine of \$2,500. 	<ul style="list-style-type: none"> • Minimum fine of \$2,500 to a maximum fine of \$5,000.
LICENSED OWNER:	Phenylbutazone (2.1-<5.0 mcg/ml) Flunixin (20-<100 ng/ml) Ketoprofen (2 -< 50 ng/ml)	Phenylbutazone (2.1-<5.0 mcg/ml) Flunixin (20-<100 ng/ml) Ketoprofen (2 -< 50 ng/ml)
1st offense	2nd offense (within 365-day period)	3rd offense (within 365-day period)
<ul style="list-style-type: none"> • No penalty administered. 	<ul style="list-style-type: none"> • No penalty administered. 	<ul style="list-style-type: none"> • No penalty administered.
LICENSED TRAINER:	Phenylbutazone (≥ 5.0 mcg/ml) Flunixin (≥ 100 ng/ml) Ketoprofen (≥ 50 ng/ml)	Phenylbutazone (≥ 5.0 mcg/ml) Flunixin (≥ 100 ng/ml) Ketoprofen (≥ 50 ng/ml)
1st offense	2nd offense (within 365-day period)	3rd offense (within 365-day period)
<ul style="list-style-type: none"> • Minimum fine of \$1,000 to a maximum fine of \$2,500. 	<ul style="list-style-type: none"> • Minimum fine of \$2,500 to a maximum fine of \$5,000. 	<ul style="list-style-type: none"> • Minimum fine of \$5,000 to a maximum fine of \$10,000.
LICENSED OWNER:	Phenylbutazone (≥ 5.0 mcg/ml) Flunixin (≥ 100 ng/ml) Ketoprofen (≥ 50 ng/ml)	Phenylbutazone (≥ 5.0 mcg/ml) Flunixin (≥ 100 ng/ml) Ketoprofen (≥ 50 ng/ml)
1st offense	2nd offense (within 365-day period)	3rd offense (within 365-day period)
<ul style="list-style-type: none"> • Horse must pass Board-approved examination pursuant to Rule 1846 before being eligible to run. 	<ul style="list-style-type: none"> • Disqualification of horse and loss of purse. If same horse, placed on veterinarian’s list for up to 45-days, must pass Board-approved examination pursuant to Rule 1846 before being eligible to run. 	<ul style="list-style-type: none"> • Disqualification of horse and loss of purse. Minimum \$5,000 fine. If same horse, placed on veterinarian’s list for 60 days, must pass Board-approved examination pursuant to Rule 1846 before being eligible to run.

- (e) Violations due to the presence of a drug substance in an official test sample, which CHRB drug classification is categorized as warranting a Category “D” penalty, may result in a written warning to the licensed trainer and owner.

CATEGORY “D” PENALTIES

1 st offense (within 365 day period)	2 nd offense (within 365 day period)	3 rd offense (within 365 day period)
<ul style="list-style-type: none"> • Minimum of an official written warning to a maximum fine of \$250. 	<ul style="list-style-type: none"> • Minimum of a \$250 fine to a maximum fine of \$500. 	<ul style="list-style-type: none"> • Minimum of a \$500 fine to a maximum fine of \$750.

- (f) If a licensee has received a penalty for a Class A, B or C medication violation, and within a 365 day period has a subsequent lesser violation (e.g. an A violation followed by a B violation), the earlier violation shall count as a “prior violation” for the purposes of determining the penalty for the subsequent lesser violation.
- (g) If a licensee has received a penalty for a Class B, C or D medication violation, and within a 365 day period has a subsequent greater violation (e.g. a D violation followed by a C violation), the earlier violation shall count as an aggravating factor for the purpose of determining the penalty for the subsequent greater violation.
- (h) Any drug or its metabolite or analogue thereof found to be present in an official test sample that is not classified in Rule 1843.2 of this division shall be classified as a Class 1 substance and a Category “A” penalty until classified by the Board.
- (i) The administration of a drug substance to a race horse must be documented by the treating veterinarian through the process described in Rule 1842 of this division.
- (j) Any licensee found to be responsible for the administration of any drug substance resulting in a positive test may be subject to the same penalties set forth for the licensed trainer and his presence may be required at any and all hearings relative to the case.
- (1) Any veterinarian found to be involved in the administration of any drug substance resulting in a positive test in Penalty Category “A” shall be referred to the California Veterinary Medical Board (CVMB) for consideration of further disciplinary action.
- (2) Any veterinarian found to be involved in the administration of any drug substance resulting in a positive test in Penalty Category “B” or “C” may be referred to the CVMB for consideration of further disciplinary action upon the recommendation of the Equine Medical Director, the board of stewards or hearing officers.
- (k) A licensee who is suspended because of a medication violation is not able to benefit financially during the period of suspension. This includes, but is not limited to, ensuring that horses are not transferred to licensed family members or, for any licensee whose suspension is for more than 30 days, to any other licensee who has been an employee of the suspended licensee within the previous year.
- (1) A licensee whose license is revoked because of a medication violation is not able to benefit financially following the revocation of his or her license. This includes, but is not limited to, ensuring that horses are not transferred to licensed family members or to any other licensee who has been an employee of the licensee whose license is revoked within the previous year.
- (l) “Licensed family members” means any person who holds an occupational license issued by the CHRB and who is related to the suspended licensee, or the licensee whose license is revoked, by blood, or by marriage or domestic partnership, or who is related by blood to the spouse or domestic partner of such licensee.
- (1) Licensed trainers suspended 60 days or more shall be banned from all inclosures under the jurisdiction of the CHRB. In addition, during the period of suspension, such trainer shall forfeit all

assigned stall space and shall remove from the inclosures all signage, colors, advertisements, training-related equipment, tack, office equipment, and any other property.

- (2) A trainer whose license is revoked shall be banned from all inclosures under the jurisdiction of the CHRB. In addition, such trainer shall forfeit all assigned stall space and shall remove from the inclosures all signage, colors, advertisements, training-related equipment, tack, office equipment, and any other property.

NOTE: Authority cited: Sections 19440, 19461 and 19580, Business and Professions Code.
Reference: Sections 19461, 19580, 19581 and 19582, Business and Professions Code; and Section 11425.50, Government Code.

HISTORY:

New rule filed 5-23-08; effective 5-23-08.

Amendment filed 2-14-12; effective 3-15-12.

Amendment filed 6-6-12; effective 7-6-12.

Amendment filed 10-17-16; effective 1-1-17.

Amendment filed 11-20-18; effective 1-1-19.

UNIFORM CLASSIFICATION OF FOREIGN SUBSTANCES
Version 14.1 (January, 2020)

PENALTY GUIDELINES

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PENALTY CATEGORY “A”

The following are recommended penalties for violations due to the presence of a drug carrying a Category “A” penalty and for violations of ARCI-011-015 and ARCI-025-015: Prohibited Practices:

LICENSED TRAINER:		
1st Offense	2nd LIFETIME offense in any jurisdiction	3rd LIFETIME offense in any jurisdiction
<ul style="list-style-type: none"> • Minimum one-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a three-year suspension <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Minimum fine of \$10,000 or 10% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$25,000 or 25% of purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • May be referred to the Commission for any further action deemed necessary by the Commission. 	<ul style="list-style-type: none"> • Minimum three-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of license revocation with no reapplication for a three-year period. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Minimum fine of \$25,000 or 25% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$50,000 or 50% purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • May be referred to the Commission for any further action deemed necessary by the Commission. 	<ul style="list-style-type: none"> • Minimum five-year suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of license revocation with no reapplication for a five-year period. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Minimum fine of \$50,000 or 50% of total purse (greater of the two) absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$100,000 or 100% purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • May be referred to the Commission for any further action deemed necessary by the Commission.
LICENSED OWNER:		
1st Offense	2nd LIFETIME offense in owner’s stable any jurisdiction	3rd LIFETIME offense in owner’s stable in any jurisdiction
<ul style="list-style-type: none"> • Disqualification and loss of purse <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Horse shall be placed on the Veterinarian’s List for 180 days and must pass a commission-approved examination before becoming eligible to be entered. 	<ul style="list-style-type: none"> • Disqualification and loss of purse <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Horse shall be placed on the Veterinarian’s List for 180 days and must pass a commission-approved examination before becoming eligible to be entered. 	<ul style="list-style-type: none"> • Disqualification, loss of purse and \$50,000 fine <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Horse shall be placed on the Veterinarian’s List for 180 days and must pass a commission-approved examination before becoming eligible to be entered. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> • Referral to the Commission with a recommendation of a suspension for a minimum of 90 days.

PENALTY CATEGORY “B”

The following are recommended penalties for violations due to the presence of a drug carrying Category “B” penalty, for the detection of two or more NSAIDs in a plasma/serum and/or urine sample, the detection of two or more corticosteroids in a plasma/serum and/or urine sample subject to the provisions set forth in ARCI-011-020(E) and ARCI-025-020(E) and for violations of the established levels for total carbon dioxide:

LICENSED TRAINER:		
1st Offense	2nd offense (365-day period) in any jurisdiction	3rd offense (365-day period) in any jurisdiction
<ul style="list-style-type: none"> Minimum 15-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 60-day suspension <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> Minimum fine of \$500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$1,000. 	<ul style="list-style-type: none"> Minimum 30-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a 180-day suspension <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> Minimum fine of \$1,000 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum fine of \$2,500. 	<ul style="list-style-type: none"> Minimum 60-day suspension absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of a one-year suspension. <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> Minimum fine of \$2,500 absent mitigating circumstances. The presence of aggravating factors could be used to impose a maximum of \$5,000 or 5% purse (greater of the two). <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> May be referred to the Commission for any further action deemed necessary by the Commission.
LICENSED OWNER:		
1st Offense	2nd offense (365-day period) in owner’s stable any jurisdiction	3rd offense (365-day period) in owner’s stable in any jurisdiction
<ul style="list-style-type: none"> Disqualification and loss of purse [in the absence of mitigating circumstances]* <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> Horse must pass a commission-approved examination before becoming eligible to be entered. 	<ul style="list-style-type: none"> Disqualification and loss of purse [in the absence of mitigating circumstances]* <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> Horse must pass a commission-approved examination before becoming eligible to be entered. 	<ul style="list-style-type: none"> Disqualification, loss of purse, and in the absence of mitigating circumstances a \$5,000 fine.* <p style="text-align: center;">AND</p> <ul style="list-style-type: none"> Horse shall be placed on the Veterinarian’s List for 45 days and must pass a commission-approved examination before becoming eligible to be entered.

PENALTY CATEGORY “C”

The following are recommended penalties for violations due to the presence of a drug carrying a Category “C” penalty and overages for permitted NSAIDs and furosemide: **(All concentrations are for measurements in serum or plasma.)**

LICENSED TRAINER	Furosemide (>100 ng/ml) and/or no furosemide when identified as administered	Phenylbutazone (>0.3 mcg/ml) Flunixin (> 5.0 ng/ml) Ketoprofen (> 2.0 ng/ml) and CLASS C Violations
1 st Offense (365-day period) in any jurisdiction	Minimum of a written warning to maximum fine of \$500	Minimum fine of \$1,000 absent mitigating circumstances
2 nd Offense (365-day period) in any jurisdiction	Minimum of a written warning to maximum fine of \$750	Minimum fine of \$1,500 and 15-day suspension absent mitigating circumstances
3 rd Offense (365-day period) in any jurisdiction	Minimum fine of \$500 to a maximum fine of \$1,000	Minimum fine of \$2,500 and 30-day suspension absent mitigating circumstances
LICENSED OWNER	Furosemide (>100 ng/ml) and/or no furosemide when identified as administered	Phenylbutazone (>0.3 mcg/ml) Flunixin (> 5.0 ng/ml) Ketoprofen (> 2.0 ng/ml) and CLASS C Violations
1 st Offense (365-day period) in any jurisdiction	Horse may be required to pass commission-approved examination before being eligible to run	Disqualification and loss of purse in the absence of mitigating circumstances. Horse must pass commission-approved examination before being eligible to run.
2 nd Offense (365-day period) in any jurisdiction	Horse may be required to pass commission-approved examination before being eligible to run	Disqualification and loss of purse in the absence of mitigating circumstances. If same horse, placed on veterinarian’s list for 45 days, must pass commission-approved examination before being eligible to run
3 rd Offense (365-day period) in any jurisdiction	Disqualification and loss of purse. Horse must pass commission-approved examination before being eligible to run	Disqualification and loss of purse in the absence of mitigating circumstances. Minimum \$5,000 fine. If same horse, placed on veterinarian’s list for 60 days, must pass commission-approved examination before being eligible to run

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

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

PENALTY CATEGORY “D”

The recommended penalty for a violation involving a drug that carries a Category “D” penalty is a written warning to the trainer and owner. Multiple violations may result in fines and/or suspension.

MMV Point System

Multiple Medication Violation Model Rule.

ARCI-011-020 (B)(13)

Officials are advised to check a licensee’s ARCI regulatory record to see if multiple medication violations should be considered as an aggravating factor in the determination of an appropriate penalty.

- (1) Multiple Medication Violations (MMV)
- (a) A trainer who receives a penalty for a medication violation based upon a horse testing positive for a Class 1-5 medication with Penalty Class A-C, as provided in the most recent version of the ARCI Uniform Classification Guidelines for Foreign Substances, or similar state regulatory guidelines, shall be assigned points as follows:

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

¹ Points for NSAID violations only apply when the primary threshold of the NSAID is exceeded. Points are not to be separately assigned for a stacking violation.

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

- (b) The points assigned to a medication violation by the Stewards or Commission ruling shall be included in the ARCI official database. The ARCI shall record points consistent with Section 13(a) including when appropriate, a designation that points have been suspended for the medication violation. Points assigned by such regulatory ruling shall reflect, in the case of multiple positive tests as described in paragraph (d), whether they constitute a single violation. The Stewards’ or Commission Ruling shall be posted on the official website of the Commission and within the official database of the Association of Racing Commissioners International. If an appeal is pending, that fact shall be noted in such Ruling. No points shall be applied until a final adjudication of the enforcement of any such violation.

- (c) A trainer’s cumulative points for violations in all racing jurisdictions shall be maintained by the ARCI. Once all appeals are waived or exhausted, the points shall immediately become part of the trainer’s official ARCI record and shall be considered by the Commission in its determination to subject the trainer to the mandatory enhanced penalties by the Stewards or Commission as provided in this regulation.
- (d) Multiple positive tests for the same medication incurred by a trainer prior to delivery of official notice by the commission may be treated as a single violation. In the case of a positive test indicating multiple substances found in a single post-race sample, the Stewards may treat each substance found as an individual violation for which points will be assigned, depending upon the facts and circumstances of the case.
- (e) The official ARCI record shall be used to advise the Stewards or Commission of a trainer’s past record of violations and cumulative points. Nothing in this administrative regulation shall be construed to confer upon a licensed trainer the right to appeal a violation for which all remedies have been exhausted or for which the appeal time has expired as provided by applicable law.
- (f) The Stewards or Commission shall consider all points for violations in all racing jurisdictions as contained in the trainer’s official ARCI record when determining whether the mandatory enhancements provided in this regulation shall be imposed.
- (g) In addition to the penalty for the underlying offense, the following enhancements shall be imposed upon a licensed trainer based upon the cumulative points contained in his/her official ARCI record:

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

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

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

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

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

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

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

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REVISIONS TO ARCI UNIFORM CLASSIFICATION GUIDELINES FOR FOREIGN SUBSTANCES

Version	Date	Drug/Substance	Notes
14.1	December 2019	Ethamsylate	Added as Drug Class 4, Penalty Class B.
14.1	December, 2019	Botulinum Toxin	Added as Drug Class 2, Penalty Class A.
14.1	December, 2019	Selective Androgen Receptor Modulators (SARMs)	Entire Class of drugs added with specific entries for Andarine, Ostarine, Ligandrol, and Testolone. Drug Class 2, Penalty Class A.
14.1	December, 2019	Bisphosphonates	Entire Class added with specific entries for Tildronate Sodium and Clodronate. Drug Class 3, Penalty Class A.
14.1	December, 2019	Altrenogest	Modified footnote.
14.1	December, 2019	Methoxyprogesterone	Modified footnote.
14.1	December, 2019	Acetylcysteine	Added. Class 4 Substance, Penalty Class C.
14	January, 2019	1-testosterone, Bolandiol, Drostanolone, Drostanolone, Metandienone, Metenolone, Metribolone	Added. Class 3 Substance, Penalty Class A.
14	January, 2019	Androstenediol, Androstenedione, Dihydrotestosterone, Prasterone	Added. Class 3 Substances, Penalty Class B.
14	January, 2019	5a-androstane-3(x)	Numerous testosterone metabolites added as Class B Substance, Penalty Class B.
14	January, 2019	Androstenediols that are converted to testosterone.	Added. Class 3 Substances, Penalty Class B.
14	January, 2019	Androst-5-ene-3 α ,17 β -diol, Androst-5-ene-3 β ,17 α -diol, 5-androstenedione	Added. Class 3 Substances, Penalty Class B.
14	January, 2019	ARA-290, Asialo EPO, Carbamylated EPO	Non-erythroietic EPO-Receptor antagonists added as Class 1 Substances, Penalty Class A.
14	January, 2019	CNTO 530, Peginesatide, Methoxypolyethylene glycol-epoetin beta (CERA)	EPO-mimetic peptides (EMP) added as Class 1 Substances, Penalty Class A.
14	January, 2019	Epitestosterone	Added. Class 3 Substance, Penalty Class B.
14	January, 2019	Etiocholanolone	Added. Class 3 Substance, Penalty Class B.
14	January, 2019	7 α -hydroxy-dhea, 7 β -hydroxy-dhea, 7-keto-dhea;19-	Added. Class 3 Substances, Penalty Class B.
14	January, 2019	Norandrosterone, 19-noretiocholanolone	Added. Class 3 Substances, Penalty Class B.
14	January, 2019	Tibolone	Added. Class 3 Substances, Penalty Class A.
14	January, 2019	Darbepoetin (depo)	Added. Class 1 Substance, Penalty Class A.
14	January, 2019	EPO-Fc	Added. Class 1 Substance, Penalty Class A.
13.4.1	August 2018	Altrenogest	Added a missing footnote.
13.4	January 2018	Dipyron	Penalty Classification changed from C to B; Drug Class remains 4
13.4	January 2018	Tolfenamic Acid	Added as Drug Class 4, Penalty Class B
13.4	January 2018	Pimobendan	Added as Drug Class 2, Penalty Class B
13.4	January 2018	Mitragynine	Added as Drug Class 1, Penalty Class A
13.4	January 2018	Metformin	Added as Drug Class 2, Penalty Class B
13.4	January 2018	Letrozole	Added as Drug Class 3, Penalty Class A
13.4	January 2018	Capsaicin	Added as Drug Class 2, Penalty Class B
13.4	January 2018	Altrenogest	Added as Drug Class 4, Penalty Class C in male horses only; no restriction in female horses.
13.3	July 2017	Penalty C Guideline Modification	Added "[in the absence of mitigating circumstances]" for owner 1st offense
13.2	April 2017	Penalty A Guideline Modification	Increase time on vets list to 180 days
13.2	April 2017	Articaine, Carticaine, and Priolocaine	Penalty Class Changed from A to B
13.2	April 2017	Cinchocaine	Penalty Class Changed from A to B
13.2	April 2017	Formebolone	Penalty Class Change from B to A

Version	Date	Drug/Substance	Notes
13.2	April 2017	Methyltestosterone	Penalty Class Change from A to B
13.2	April 2017	Methyl-1-testosterone	Added; Class 3, Penalty Class A
13.2	April 2017	Oxymesterone	Penalty Class Change from B to A
13.2	April 2017	Sulindac	Penalty Class Change from A to B
13.2	April 2017	Valdecoxib	Penalty Change from A to B
13.2	April 2017	Benazepril	Penalty Class Changed to A
13.2	April 2017	Eszopiclone	Added Class 2; Penalty Class A
13.2	April 2017	Propantheline	Penalty Class B assigned.
13	January 11, 2017		Version 13.00 Publication Date
13	December 2016	Methdilazine	Changed from Class 4 to Class 3
13	December 2016	Naepaine	Changed from Class 4/Penalty C to Class 2/Penalty A
13	December 2016	Nortestosterone	Changed from Class 4/Penalty C to Class 3/Penalty B
13	December 2016	Olsalazine	Changed from Class 4/Penalty B to Class 5/Penalty C
13	December 2016	Oxaprozín	Changed from Penalty C to Penalty B
13	December 2016	Pentoxifylline	Changed from Penalty C to Penalty D
13	December 2016	Terfenadine	Changed from Penalty B to Penalty C
13	December 2016	Thiosalicylate	Changed from Penalty C to Penalty B
13	December 2016	Tripolidine	Changed from Class 4 to Class 3
13	December 2016	Anisindione	Changed from Penalty C to Penalty D
13	December 2016	Cilostazol	Changed from Class 5/Penalty C to Class 4/Penalty B
13	December 2016	Cromolyn	Changed from Penalty C to Penalty D
13	December 2016	Dimethylsulphone (MSM)	Removed from classifications; recommended "do not report"
13	December 2016	Misoprostol	Changed from Penalty C to Penalty D
13	December 2016	Nedocromil	Changed from Penalty C to Penalty D
13	December 2016	Phenindione	Changed from Penalty C to Penalty D
13	December 2016	Polyethylene Glycol	Changed from Penalty C to Penalty D
13	December 2016	Warfarin	Changed from Penalty C to Penalty D
13	December 2016	Pirbuterol	Changed from Penalty A to Penalty B
13	December 2016	Piroxicam	Changed from Class 3 to Class 4
13	December 2016	Prostanazol	Changed from Penalty B to Penalty A
13	December 2016	Quinbolone	Changed from Penalty B to Penalty A
13	December 2016	Scopolamine	Changed from Class 3/Penalty B to Class 4/Penalty C
13	December 2016	Stenbolone	Changed from Penalty B to Penalty A
13	December 2016	TCO ₂	Changed from Unclassified with Penalty B recommended to Class 3/Penalty B
13	December 2016	Acetazolamide	Changed from Penalty B to Penalty C
13	December 2016	Ambroxol	Changed from Penalty C to Penalty B
13.01	December 2016	Cocaine and Morphine	Added a footnote inadvertently excluded from V.13.0
13	December 2016	Brompheniramine	Changed from Class 4 to Class 3
13	December 2016	Butacaine	Changed from Class 4/Penalty C to Class 2/Penalty A
13	December 2016	Carbazochrome	Changed from Penalty C to Penalty B
13	December 2016	Ciclesonide	Changed from Penalty B to Penalty C
13	December 2016	Cinchocaine	Changed from Class 4/Penalty C to Class 2/Penalty A
13	December 2016	Clibucaine	Changed from Class 4/Penalty C to Class 2/Penalty A
13	December 2016	Clormecaine	Changed from Class 4/Penalty C to Class 2/Penalty A
13	December 2016	Cyclizine	Changed from Class 4 to Class 3
13	December 2016	Cyproheptadine	Changed from Class 4/Penalty C to Class 3/Penalty B
13	December 2016	Dibucaine	Changed from Class 4/Penalty C to Class 2/Penalty B
13	December 2016	Eltenac	Changed from Penalty C to Penalty B
13	December 2016	Ethoheptazine	Changed from Class 4/Penalty C to Class 2/Penalty A
13	December 2016	Fluorometholone	Changed from Penalty B to Penalty C
13	December 2016	Fluoroprednisolone	Changed from Penalty C to Penalty B
13	December 2016	Hexylcaine	Changed from Class 4/Penalty C to Class 2/Penalty B
13	December 2016	Isoxsuprine	Changed from Penalty C to Penalty D
13	December 2016	Letosteine	Changed from Penalty C to Penalty B
13	December 2016	Loratidine	Changed from Penalty B to Penalty C
13	December 2016	Meclizine	Changed from Class 4 to Class 3
13	December 2016	Methapyrilene	Changed from Class 4 to Class 3

Version	Date	Drug/Substance	Notes
13	December 2016	Amyl Nitrite	Changed from Class 3 to Class 2
13	December 2016	Arformoterol	Changed from Penalty A to Penalty B
13	December 2016	Calusterone	Changed from Penalty B to Penalty A
13	December 2016	Clostebol	Changed from Penalty B to Penalty A
13	December 2016	Dehydrochloromethyltestosterone	Changed from Penalty B to Penalty A
13	December 2016	Desoxymethyltestosterone	Changed from Penalty B to Penalty A
13	December 2016	Enalapril	Changed from Penalty B to Penalty A
13	December 2016	Felbamate	Changed from Penalty A to Penalty B
13	December 2016	Furazabol	Changed from Penalty B to Penalty A
13	December 2016	Glycopyrrolate	Changed from Class 3/Penalty B to Class 4/Penalty C
13	December 2016	Mepenzolate	Changed from Penalty A to Penalty B
13	December 2016	Mestanolone	Changed from Penalty B to Penalty A
13	December 2016	Mesterolone	Changed from Penalty B to Penalty A
13	December 2016	Methandrostenolone (Methandienone)	Added alternate name, Changed from Penalty B to Penalty A
13	December 2016	Methandriol (Methylandrostenediol)	Added alternate name, Changed from Penalty B to Penalty A
13	December 2016	Metenolone	Changed from Penalty B to Penalty A
13	December 2016	Methyldienolone	Changed from Penalty B to Penalty A
13	December 2016	Methylnortestosterone (Trestolone)	Added alternate name, Changed from Penalty B to Penalty A
13	December 2016	Methsuximide	Changed from Class 3/Penalty A to Class 4/Penalty B
13	December 2016	Methyltestosterone	Changed from Penalty B to Penalty A
13	December 2016	Naloxone	Changed from Penalty A to Penalty B
13	December 2016	Naltrexone	Changed from Penalty A to Penalty B
13	December 2016	N-Butylscopolamine	Changed from Class 3/Penalty B to Class 4/Penalty C
13	December 2016	Nitroglycerin	Changed from Class 3 to Class 2
13	December 2016	Norbolethone/Norboletone	Added alternate spelling, Changed from Penalty B to Penalty A
13	December 2016	Norclostebol	Changed from Penalty B to Penalty A
13	December 2016	Oxabolone	Changed from Penalty B to Penalty A
13	December 2016	Oxprenolol	Changed from Penalty B to Penalty A
13	December 2016	Physostigmine	Changed from Penalty B to Penalty A
13	December 2016	Pindolol	Changed from Penalty A to Penalty B
13	December 2016	Amitraz	Changed from Penalty A to Penalty B
13	December 2016	Alprenolol	Changed from Class 3 to Class 2
13	December 2016	Zomepirac	Changed from Penalty A to Penalty B
13	December 2016	Yohimbine	Changed from Penalty A to Penalty B
13	December 2016	Snake Venoms	Changed from Class 2 to Class 1
13	December 2016	Romifidine	Changed from Class 2 to Class 3
13	December 2016	Rofecoxib	Changed from Penalty A to Penalty B
13	December 2016	Reserpine	Changed from Penalty A to Penalty B
13	December 2016	Midazolam	Changed from Class 2/Penalty A to Class 3/Penalty B
13	December 2016	Loperamide	Changed from Class 2/Penalty A to Class 3/Penalty B
13	December 2016	Isoxicam	Changed from Penalty A to Penalty B
13	December 2016	Fluphenazine	Changed from Penalty A to Penalty B
13	December 2016	Fenclozic Acid	Changed from Penalty A to Penalty B
13	December 2016	Erythropoietin	Changed from Class 2 to Class 1
13	December 2016	Diazepam	Changed from Class 2 to Class 3
13	December 2016	Darbepoetin	Changed from Class 2 to Class 1; Corrected spelling under "Prohibited Practices"
13	December 2016	Chlorpromazine	Changed from Class 2 to Class 1
13	December 2016	Benoxaprofen	Changed from Penalty A to Penalty B

Version	Date	Drug/Substance	Notes
13	December 2016	Alclofenac	Changed from Penalty A to Penalty B
13	December 2016	Atipamazole	Added to Uniform Classification Guide as Class 2, Penalty B
13	December 2016	Cocaine	Changed from Penalty B to Penalty A
13	December 2016	Ethylphenidate	Added to Uniform Classification Guide as Class 1, Penalty A
13	December 2016	Meldonium	Added to Uniform Classification Guide as Class 1, Penalty A
13	December 2016	Morphine	Changed from Penalty B to Penalty A
13	December 2016	Strychnine	Changed from Penalty B to Penalty A
12	March 2016	Methamphetamine	Added footnote language recommending Penalty B if testing can prove presence of only levo-methamphetamine is present in sample.
12	March 2016	Tramadol	Changed from Penalty A to Penalty B
12	March 2016	Cetirizine	Changed from Penalty B to Penalty C after inclusion into ARCI Controlled Therapeutic Medication Schedule
12	March 2016	Morphine	Added footnote language recommending Penalty A if intentional administration can be proven by regulators.
12	March 2016	Cocaine	Added footnote language recommending Penalty A if intentional administration can be proven by regulators.
12	March 2016	Methacholine	Corrected spelling error in Alphabetical Listing by Substance Section and Listing by Classification Section
12	March 2016	myo-inositol trispyrophosphate (ITPP)	Corrected spelling error in Alphabetical Listing by Substance Section and Listing by Classification Section
11	December 2015	2-Aminoheptane	Corrected typographical error to reflect Class 4, Penalty B Substance
11	December 2015	Xylometazoline	Corrected typographical error to reflect Class 4, Penalty B Substance
11	December 2015	Rivastigmine	Corrected typographical error to reflect Class 2, Penalty A Substance
11	December 2015	Rabeprazole	Corrected typographical error to reflect Class 5, Penalty D Substance
11	December 2015	Prilocaine	Corrected typographical error to reflect Class 2, Penalty A Substance
11	December 2015	Hexocyclium	Corrected typographical error to reflect Class 4, Penalty B Substance
11	December 2015	Gabapentin	Corrected typographical error to reflect Class 3, Penalty B Substance
11	December 2015	Ergoloid Mesylates	Corrected typographical error to reflect Class 2, Penalty A Substance
11	December 2015	Butacaine	Corrected typographical error to reflect Class 4, Penalty B Substance
11	December 2015	Budesonide	Corrected typographical error to reflect Class 4, Penalty C Substance
11	December 2015	Brimonidine	Corrected typographical error to reflect Class 2, Penalty A Substance
11	December 2015	Benazepril	Corrected typographical error to reflect Class 3, Penalty B Substance
11	December 2015	Amlodipine	Corrected typographical error to reflect Class 3, Penalty B Substance
11	December 2015	3-Methoxytyramine	Added as Class 2, Penalty A Substance
10	July 2015	Methylhexanamine	Added alternative spelling
10	July 2015	Gamma Aminobutyric Acid (GABA)	Added as Class 3, Penalty B Substance

Version	Date	Drug/Substance	Notes
9	April 2015	Cobalt	Added as Class 3, Penalty B with note to refer to ARCI Endogenous, Dietary, or Environmental Substances Schedule for threshold and penalty information for concentrations of less than 50 parts per billion (ppb) in blood serum or plasma.
8	December 2014	Firocoxib	Changed Penalty Class from "B" to "C" to conform to the ARCI Controlled Therapeutic Medication Schedule
8	December 2014	Acenocoumarol	Had been previously omitted from Listing by Classification Section, Added to section
8	December 2014	Deracoxib	Corrected Spelling in Alphabetical Listing by Substance Section
8	December 2014	Norclostebol	Corrected Spelling in Alphabetical Listing by Substance Section
8	December 2014	Rizatriptan	Corrected Spelling in Alphabetical Listing by Substance Section
8	December 2014	Dehydrochloromethyl testosterone	Corrected Spelling in Alphabetical Listing by Substance Section
8	December 2014	Amiodarone	Corrected Spelling in Listing by Classification Section
8	December 2014	2-Aminoheptane	Corrected Spelling in Listing by Classification Section
8	December 2014	Bupropion	Corrected Spelling in Listing by Classification Section
8	December 2014	Alclofenac	Assigned Penalty Class A
8	December 2014	Recommended Penalties for Ketoprofen	Updated the recommended penalty for Ketoprofen to comply with the primary threshold established in the ARCI Controlled Therapeutic Medication Schedule.
8	December 2014	Class B Recommended Penalties	Corrected typographical error on recommended penalties for Class B substances for licensed owners. Version 7.00 incorrectly recommended penalties for second or third offense in the owner's lifetime. Version 8.00 corrects error and recommends penalty for second or third offense in 365-day period.
8	December 2014	Aminorex	Addition is not a change of the Uniform Classification Guidelines. Aminorex has been a DEA Schedule 1 substance. All DEA 1 substances are considered Class 1, Penalty A substances by reference. By request, Aminorex has been listed to avoid confusion.
8	December 2014	Bufotenine	Corrected the precursor to 5-methoxy-N-N dimethyltryptamine
7	January 2014	Pergolide	Added as Class 3, Penalty B
6	December 2013	Methylhexanamine	Added as Class 1, Penalty A
5	December 2012	Zilpaterol hydrochloride	Moved from Class 3 to Class 2 Substance, Penalty Remains Unchanged
5	December 2012	Tetramisole hydrochloride	Removed from Non-Classified Substance list
5	December 2012	Ambroxol	Moved from Class 4, Penalty B to Class 4, Penalty C
4.01	October 2012	Ractopamine	Corrected typographical error in Drug Class (Incorrectly listed as a Class 3 substance)
4.01	October 2012	Pyrimilamine	Corrected typographical error on Penalty Class (Listed as Penalty Class A in "Listing by Classification" section).
4	July 2012	myo-inositol trispyrophosphate (ITPP)	Added as Class 1, Penalty A
4	July 2012	Benzonatate	Added as Class 2, Penalty A
3	December 2011	Almotriptan	Corrected Penalty Class omission in Alphabetical Listing section of document

Version	Date	Drug/Substance	Notes
3	December 2011	Naltrexone	Corrected Penalty Class omission in Alphabetical Listing section of document
3	December 2011	Amiloride	Corrected Penalty Class omission in Alphabetical Listing section of document
3	December 2011	Butanilicaine	Corrected Penalty Class omission in Alphabetical Listing section of document
3	December 2011	3,4-methylenedioxy-pyrovalerone, aka MDPV, "Bath Salts"	Corrected typographical error in Trade Name sections
3	December 2011	Carbazochrome	Added as Class 4, Penalty C
2.01	August 2011	Dimethylsulfoxide (DMSO)	Edited Drug Classification definitions to remove mention of DMSO from Class 5 definition
2	July 2011	<<Drugs Not Listed>>	Language pertaining to all drugs/substances not found in this document shall be considered a Class I, Penalty A Substance
2	July 2011	Phenylbutazone	Penalties for tests over 2.0 micrograms per milliliter of plasma or serum but less than 5.0 micrograms per milliliter of plasma or serum added.
2	July 2011	Dermorphin	Added as Class 1, Penalty A
2	July 2011	3,4-methylenedioxy-pyrovalerone, aka MDPV, "Bath Salts"	Added as Class 1, Penalty A
2	July 2011	Synthetic cannabis	Added as Class 1, Penalty A
2	July 2011	Alclomethasone	Corrected typographical error in spelling
1.01	January 2011	Methocarbamol	Corrected typographical error on Penalty Class from Class B to Class C
1	December 2010	Zilpaterol	Added as Class 3, Penalty a
1	December 2010	Dimethylsulfoxide (DMSO)	Changed from Class 5 to Class 4