

## **Harness Racing Officials - Chapter 20**

### ***ARCI-020-005 Purpose;***

To define the duties and responsibilities of harness racing officials

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

### ***ARCI-020-010 GENERAL PROVISIONS:***

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

Officials at a race meeting include the following:

- (1) board of judges;
- (2) racing secretary;
- (3) paddock judge;
- (4) horse identifier;
- (5) clerk of the course;
- (6) starter;
- (7) charter;
- (8) timer;
- (9) patrol judge;
- (10) official veterinarian;
- (11) racing veterinarian; and
- (12) any other person designated by the Commission.

#### **B. Eligibility**

To qualify as a racing official the appointee must be licensed by the Commission after a determination that the person:

- (1) is of good moral character and reputation;
- (2) is experienced in and/or knowledgeable of harness racing;
- (3) is familiar with the duties to which the person is appointed and with the Commission's rules of harness racing;
- (4) possesses the mental and physical capacity to perform that person's duties; and is not under suspension or ejection by the USTA, the SC, or any racing jurisdiction.

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

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

#### **D. Prohibited Practices**

Racing officials and their assistants shall not engage in any of the following activities while serving in an official capacity at a race meeting:

- (1) participate in the sale or purchase, or own any horse at the race meeting;
- (2) sell or solicit horse insurance on any horse racing at the race meeting;
- (3) be licensed in any other capacity without permission of the Commission;

- (4) wager on the outcome of any live or simulcast race; or
- (5) refuse to take a breath analyzer test or submit to a blood or urine sample when directed by the Commission or its designee.

#### E. Report of Violations

Racing official and their assistants shall report immediately to the judges every observed perceived violation of these rules and of the laws of this jurisdiction governing racing.

#### F. Observations and Notifications

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

#### G. Complaints Against Officials

Any complaint against a racing official other than a judge shall be made to the judges in writing and signed by the complainant. All such complaints shall be reported to the Commission by the judges, together with a report of the action taken or the recommendation of the judges. Complaints against any judge shall be made in writing to the Commission and signed by the complainant.

#### H. Appointment

- (1) A person shall not be appointed to more than one racing official position at a race meeting unless specifically approved by the Commission.
- (2) The Commission shall appoint or approve the judges at each harness race meeting.

#### I. Appointment of Substitute Officials

Where a vacancy exists among racing officials, the judges shall appoint a person to fill the vacancy immediately. Such appointment shall be effective until the vacancy is filled in accordance with these rules. In addition, the judges have the authority to approve temporary, emergency appointments.

#### J. Appointment of Substitute Judge

Should any judge be absent at race time, the remaining judge(s) shall appoint a deputy for the absent judge(s). If a deputy judge is appointed, the Commission shall be notified immediately by the judges.

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

Version 4.9 to 5.0 ARCI Board 12/9/12: Added language Observations and Notifications

### **ARCI-020-015 JUDGES**

#### A. Accreditation

To qualify for appointment as a judge, the appointee shall meet the experience, education and examination requirements necessary to be accredited by the Racing Officials Accreditation Program, or licensed by the USTA as a judge.

## B. General Authority

- (1) The judges for each race meeting shall be responsible to the Commission for the conduct of the race meeting in accordance with the laws of this jurisdiction and these rules.
- (2) The judges shall enforce these rules and the racing laws of this jurisdiction.
- (3) The judges' authority includes supervision of all racing officials, track management, licensed personnel, other persons responsible for the conduct of racing and patrons, as necessary to ensure compliance with these rules.
- (4) The judges shall have authority to resolve conflicts or disputes related to racing and to discipline violators in accordance with the provisions of these rules.
- (5) The judges have the authority to interpret the rules and to decide all questions of racing not specifically covered by the rules.
- (6) The judges may postpone or cancel races in the event of unfavorable weather or other unavoidable cause.

## C. Period of Authority

The judges' period of authority shall commence \_\_\_ days prior to the beginning of each race meeting and shall terminate with completion of their official business.

## D. Disciplinary Action

- (1) The judges shall take notice of alleged misconduct or rule violations and initiate investigations into the matters.
- (2) The judges shall have authority to charge any licensee for a violation of these rules, to conduct hearings and to impose disciplinary action in accordance with these rules.
- (3) The judges may compel the attendance of witnesses and the submission of documents or potential evidence related to any investigation or hearing.
- (4) The judges may at any time inspect license documents, registration papers and other documents related to racing.
- (5) The judges have the power to administer oaths and examine witnesses.
- (6) The judges shall consult with the official veterinarian to determine the nature and seriousness of a laboratory finding or an alleged medication violation.
- (7) The judges may impose, but are not limited to, any of the following penalties on a licensee for an attempt to violate or a violation of these rules:
  - (a) issue a reprimand;
  - (b) assess a fine;
  - (c) require forfeiture or redistribution of purse or award, when specified by applicable rules;
  - (d) place a licensee on probation;
  - (e) suspend a license or racing privileges;
  - (f) revoke or cancel a license;
  - (g) exclude from grounds under the jurisdiction of the Commission; or any relief deemed appropriate.
- (8) The judges may suspend a horse from participation in racing.

- (9) The judges may suspend a license for not more than (\_\_\_\_) per violation; or they may impose a fine in accordance with the applicable statute for each violation; or they may suspend and fine; or they may order that a person be ineligible for licensing.
- (10) The judges shall submit a written report to the Commission of every inquiry and hearing.
- (11) A judges' ruling shall not prevent the Commission from imposing a lesser or more severe penalty.
- (12) The judges may refer any matter to the Commission and may include recommendations for disposition. The absence of a judges' referral shall not preclude Commission action in any matter.
- (13) Purses, prizes, awards, and trophies shall be redistributed if the judges or Commission order a change in the official order of finish.
- (14) All fines imposed by the judges shall be paid to the Commission within \_\_\_\_after the ruling is issued, unless otherwise ordered.

#### E. Protests, Objections and Complaints

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

#### F. Judges' Presence

A board of judges shall be present in the judges' stand during the contesting of each race.

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

- (1) The judges shall determine the official order of finish for each race in accordance with the rules of the race (Chapter 24).
- (2) The decision of the judges as to the official order of finish, including the disqualification of a horse or horses as a result of any event occurring during the contesting of the race, shall be final for purposes of distribution of the pari-mutuel wagering pool.

#### H. Records and Reports

- (1) The judges shall prepare a daily report, on a form approved by the Commission, detailing their actions and observations made during each day's race program. The report shall contain the name of the racetrack, the date, the weather and track conditions, claims, inquiries, and objections and any unusual circumstances or conditions. The report shall be signed by each judge and be filed with the Commission not later than \_\_\_\_ hours after the end of each race day.
- (2) The presiding judge shall maintain a detailed log of the judges' official activities. The log shall describe all questions, disputes, protests, complaints or objections brought to the attention of the judges and all interviews, investigations and rulings made by the judges. The log shall be available at all times for inspection by the Commission or its designee.
- (3) Not later than seven days after the last day of a race meeting, the presiding judge shall submit to the Commission a written report regarding the race meeting. The report shall contain:
  - (a) the judges' observations and comments regarding the conduct of the race meeting and the overall conditions of the association grounds during the race meeting; and

(b) any recommendations for improvement by the association or action by the Commission.

#### I. Judges' List

- (1) The judges shall maintain a Judges' List of the horses which are ineligible to be declared in a race.
- (2) A horse that is unfit to race because it is dangerous, unmanageable or unable to show a performance to qualify for races at the race meeting, or otherwise unfit to race at the race meeting may be placed on the Judges' List by the presiding judge and declarations and/or entries on the horse shall be refused. The owner or trainer shall be notified of such action and the reason shall be clearly stated. The judges shall post and maintain a current Judges' List in the racing office. When any horse is placed on the Judges' List, the clerk of the course/field representative shall make an entry on the eligibility certificate of such horse, showing the date the horse was put on the Judges' List, the reason, and the date of removal, if the horse has been removed.
- (3) No presiding judge or other official at a fair race meeting shall have the power to remove from the Judges' List and accept as an entry any horse which has been placed on a Judges' List and not subsequently removed therefrom for the reason that the horse is dangerous or an unmanageable horse. Such race meetings may refuse declarations and/or entries on any horse that has been placed on the Judges' List and has not been removed therefrom.
- (4) Any horse put on the Judges' List as unmanageable or dangerous must qualify in a satisfactory manner for the judges at least two times.
- (5) The judges may put any horse on the Judges' List for performance when such horse shows a reversal of form or does not race near its own capabilities. Such horse shall qualify in a time comparable to its known capabilities from one to three times, at the discretion of the judges, before being declared.
- (6) The judges may put any horse on the Judges' List for being noncompetitive or unfit to race at the race meeting.
- (7) The judges may place a horse on the Judges' List when there exists a question as to the exact identification, ownership or management of said horse.
- (8) A horse which has been placed on the Judges' List because of questions as to the exact identification or ownership of said horse, may be removed from the Judges' List when, in the opinion of the judges, proof of exact identification and/or ownership has been established.
- (9) A horse placed on the Judges' List can only be removed from the Judges' List by the judges.

Adopted in Version 1.4 ARCI 8/27/02 NAPRA 10/2/02  
Version 3.2 to 3.3 ARCI 12/7/05: Amended new rule language

### **ARCI-020-020 RACING SECRETARY**

#### A. General Authority

The racing secretary is responsible for setting the conditions for each race of the race meeting, supervise the nomination of entries and determining the amounts of purses, and to whom they are due. The racing secretary shall check and verify the eligibility of all horses entered.

## B. Eligibility

The racing secretary is responsible for verifying the eligibility of all horses competing at the track or stabled on association grounds.

## C. Claiming Authorizations

The racing secretary is responsible for maintaining the claiming authorizations of all declared horses.

## D. List of Nerved Horses

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

## E. Race Information

The racing secretary shall be familiar with the age, class and competitive ability of all horses racing at the race meeting.

## F. Classifications

The racing secretary shall classify horses in accordance with these rules and list horses in the categories in which they qualify.

## G. Listing of Horses

The racing secretary shall:

- (1) examine all entry forms and declarations to verify information as set forth therein; and
- (2) select the horses to start and the also eligible horses from the declarations in accordance with these rules.
- (3) provide the listing of horses in the daily program.

## H. Nominations and Declarations

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

## I. Conditions

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

## J. Posting of Entries

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

## K. Stakes and Added Money Records

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

## L. Winnings

- (1) For the purpose of establishing conditions, winnings shall be considered to include all monies and prizes won up to the time of the start of a race.

- (2) Winnings during the year shall be calculated by the racing secretary from the preceding January 1.

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

### ***ARCI-020-025 PADDOCK JUDGE***

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

The paddock judge shall be responsible for and not limited to:

- (1) ensuring that the horses are on the racetrack for post parades in accordance with the schedule issued by the judges;
- (2) inspection of horses for changes of equipment, broken or faulty equipment, proper saddle pads, and head numbers;
- (3) supervision of paddock gate operators;
- (4) proper check-in and check-out of horses and drivers; direction of the activities of the paddock horseshoer; and
- (5) ensuring that only properly authorized persons are permitted in the paddock.

#### **B. Report to the Judges**

The paddock judge shall:

- (1) notify the judges of anything that could in any way change, delay or otherwise
- (2) affect the racing program; and report to the judges any observed cruelty to a horse; and
- (3) any other perceived violations of these rules.

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

### ***ARCI-020-028 HORSE IDENTIFIER***

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

The horse identifier shall be present for each race. The horse identifier shall inspect each horse prior to its departure from the paddock to the post to confirm the horse's proper identity by checking the horse's tattoo number, color and markings, and freeze brand if applicable.

#### **B. Report Violations**

The horse identifier shall report to the judges any horse not properly identified in conformity with these rules.

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

### ***ARCI-020-030 CLERK OF THE COURSE/FIELD REPRESENTATIVE***

#### **General Authority**

The clerk of the course/field representative shall be responsible for verifying the eligibility records provided by the USTA/SC and recording therein all required information and:

- (1) names and addresses of owners, trainers, and drivers;
- (2) the standard symbols for medications, where applicable;
- (3) notations of placings, disqualifications and claimed horses;
- (4) notations of scratched or barred horses;

- (5) provide an eligibility record to the horse's owner or the owner's representative when requested.

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

### **ARCI-020-035 OFFICIAL STARTER**

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

- (1) No person shall be licensed as a Starter until he/she has successfully completed a written examination and satisfied the Commission that he/she has the necessary qualifications to perform the required duties.
- (2) Notwithstanding the provisions of paragraph 1. Of this rule, the Commission may grant Starter licenses restricted to starting horses in matinee races, time performances or meetings not exceeding ten days in duration within a calendar year.
- (3) The Starter shall:
  - (a) Be subject to the supervision of the judges;
  - (b) Be present in the starting gate at least fifteen minutes before the first race;
  - (c) Have control over the horses from the formation of the post parade until the field is released at the starting point;
  - (d) Notify the judges of all violations of the rules, giving detailed information thereof;
  - (e) Notify drivers charged with violations of starting rules and grant a hearing before any penalties are assessed;
  - (f) Act as a patrol judge when requested by the judges; and
  - (g) Submit to a physical and/or eye examination when requested by the Commission.

#### **B. Starter's List**

The official starter shall school horses as may be necessary and shall prepare a list of horses not qualified to start, which shall be delivered to the judges and the racing secretary and entered on the Starter's List. The Starter's List shall be posted in the racing secretary's office. No horse on the Starter's List shall be eligible to declare until removed from the List.

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

### **ARCI-020-040 OFFICIAL CHARTER**

#### **General Authority**

The official charter is responsible for providing a complete and accurate chart of each race. An accurate chart shall include the following:

- (1) horse's name;
- (2) driver's name;
- (3) date and place of the race;
- (4) track size, if other than a half-mile track;
- (5) track condition and temperature;
- (6) type of race (trot or pace);
- (7) classification of race;

- (8) distance;
- (9) fractional times of the leading horse, including the race time;
- (10) post position, position at the 1/4-mile, the 1/2-mile and the 3/4-mile poles and at the head of the stretch with lengths behind the leader and finish position with lengths behind the winner;
- (11) official order of finish;
- (12) individual time of each horse;
- (13) closing dollar odds (with favorite designated by an asterisk);
- (14) the standard symbols for breaks, interference breaks, interference, broken equipment, park outs, and free legged pacers, where applicable;
- (15) the standard symbols for medications, where applicable; in claiming races, the price for which the horse is entered to be claimed less allowances for age and sex;
- (16) names of the horses placed first, second and third by the judges; and notations of placings, disqualifications and claimed horses.

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

### ***ARCI-020-045 OFFICIAL TIMER***

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

The official timer shall accurately record the time elapsed between the start and finish of each race.

#### **B. Timing Procedure**

The time shall be recorded from the instant that the first horse crosses the starting point until the first horse reaches the finish line and each quarter mile shall also be recorded on the leading horse.

#### **C. Timing Races**

- (1) In every race, the time of each heat shall be accurately recorded by two timers or an approved electrical timing device, in which case, there shall be one timer.
- (2) Times of heats shall be recorded in minutes, seconds and fifths of a second.
- (3) Immediately following each heat, the elapsed time of the heat shall be publicly announced and/or posted on the totalisator board.
- (4) No unofficial time shall be announced, posted or entered into the official record.

#### **D. Error in Reported Time**

- (1) In circumstances involving an error in timing, no time shall be announced, posted or recorded for that heat.
- (2) In any case of alleged error regarding a horse's official time, the time in question shall not be changed to favor the horse or its owner, except upon the sworn statement of the judges and official timers who officiated in the race.

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

## ***ARCI-020-050 PATROL JUDGE***

### **General Authority**

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

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

## ***ARCI-020-055 PROGRAM DIRECTOR***

### **General Authority**

The program director is responsible for furnishing the public complete and accurate past performance information.

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

## ***ARCI-020-060 OFFICIAL VETERINARIAN***

### **A. General Authority**

The official veterinarian shall:

- (1) be employed by the Commission;
- (2) be a graduate veterinarian and be licensed to practice in this jurisdiction;
- (3) recommend to the judges any horse deemed unsafe to be raced, or a horse that it would be inhumane to allow to race;
- (4) place horses on the Veterinarian's List, when necessary, and remove horses from the Veterinarian's List;
- (5) place horses on the Bleeder List and remove horses from the Bleeder List;
- (6) maintain a continuing health and racing soundness record of each horse given a racing soundness inspection;
- (7) have the authority to supervise and control the Test Barn;
- (8) supervise the taking of all specimens for testing according to procedures approved by the Commission;
- (9) provide proper safeguards in the handling of all laboratory specimens to prevent tampering, confusion or contamination;
- (10) have authority and jurisdiction over the racing veterinarian and the practicing licensed veterinarians on the association grounds for the purpose of these rules;
- (11) report to the Commission the names of all horses humanely destroyed or which otherwise expire at the race meeting and the reasons therefore;
- (12) maintain all required records of postmortem necropsy examinations performed on horses which have died on association grounds;
- (13) refrain from directly treating or prescribing for any horse scheduled to participate during the official veterinarian's term of appointment at any recognized race meeting except in cases of emergency, accident or injury;

- (14) refuse employment or payment, directly or indirectly, from any owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the official veterinarian for the Commission;
- (15) review and make recommendations regarding Commission license applications of practicing veterinarians;
- (16) cooperate with practicing veterinarians and other regulatory agencies regarding medication issues and to take measures to control communicable and/or reportable equine diseases;
- (17) periodically review all horse papers under the jurisdiction of the Commission to ensure that all required test and health certificates are current and properly filed in accordance with these rules;
- (18) be authorized to humanely destroy any horse deemed to be so seriously injured that it is in the best interests of the horse to so act; and
- (19) provide the judges with a written statement regarding the nature and seriousness of all laboratory reports of prohibited substances in equine samples.

#### **B. Veterinarian's List**

A horse scratched by a recommendation of a veterinarian for either lameness or sickness will be put on the Veterinarian's List and shall not be removed for \_\_\_\_\_ days. No entries will be accepted on these horses until the \_\_\_\_-day period has expired.

#### **C. Starting and Finishing Inspection**

The official veterinarian shall inspect all of the horses in a race prior to their starting and after the finish of a race shall observe the horses upon their leaving the track.

#### **D. Equine Infectious Anemia**

No horse shall be admitted to any racetrack facilities in this jurisdiction without having had a negative official test for equine infectious anemia within 12 months.

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

### ***ARCI-020-065 RACING VETERINARIAN***

#### **General Authority**

The racing veterinarian shall:

- (1) be directly responsible to the official veterinarian;
- (2) be a graduate veterinarian and be licensed to practice in this jurisdiction;
- (3) be available to the racing secretary and/or judges each racing day at a time designated by the judges, to inspect any horses and report on their condition as may be requested by the judges;
- (4) inspect any horse when there is a question as to the physical condition of such horse;
- (5) recommend scratching a horse to the judges if, in the opinion of the racing veterinarian, the horse is physically incapable of exerting its best effort to win;
- (6) inspect any horse which appears in physical distress during the race or at the finish of the race; and shall report such horse together with the racing veterinarian's opinion as to the cause of the distress to the judges and to the official veterinarian;

- (7) refrain from directly treating or prescribing for any horse scheduled to participate during racing veterinarian's term of appointment at any recognized race meeting except in cases of emergency, accident or injury;
- (8) refuse employment or payment, directly or indirectly, from any owner or trainer of a horse racing or intending to race in this jurisdiction while employed as the racing veterinarian;
- (9) be authorized to humanely destroy any horse deemed to be so seriously injured that it is in the best interests of the horse to so act;
- (10) conduct soundness inspections on horses participating in races at the race meeting;
- (11) with approval of the official veterinarian, place horses on the Bleeder List;  
with approval of the official veterinarian, place horses on or remove them from the Veterinarian's List.

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

***ARCI-020-070 ANY OTHER PERSON DESIGNATED BY THE COMMISSION***

The Commission may create additional racing official positions, as needed. Persons selected for these positions shall be considered racing officials and shall be subject to the general eligibility requirements outlined in Section 020-010 B of this chapter.

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