

## **DUTIES AND REQUIREMENTS OF ASSOCIATIONS (RACE MEET LICENSEES) - CHAPTER 7**

### ***ARCI-007-025 Operations***

#### **A. Security**

- (1) An association conducting a race meeting shall maintain security controls over its grounds. Security controls are subject to the approval of the Commission.
- (2) An association may establish a system or method of issuing credentials or passes to restrict access to its restricted areas or to ensure that all participants at its race meeting are licensed as required by these rules.
- (3) An association shall prevent access to and shall remove or cause to be removed from its restricted areas any person who is unlicensed, or who has not been issued a visitor's pass or other identifying credential, or whose presence in such restricted area is unauthorized.
- (4) Unless otherwise authorized by the Commission, an association shall provide continuous security in the stable area during all times that horses are stabled on the grounds. An association shall require any person entering the stable area to display valid credentials issued by the Commission or a visitor's pass issued by the association (See Chap. 8, Rule ARCI-008-010 Section X). A written record of all individuals admitted to the stable area between the hours of 12:00 midnight and 5:00 a.m. shall be maintained. At a minimum this record shall contain the name of the person admitted, the person's license number and the time admitted. An association shall provide security fencing around the stable area in a manner that is approved by the Commission.
- (5) On request by the Commission, an association shall provide a list of the security personnel, including the name, qualifications, training, duties duty station and area supervised by each employee.
- (6) Each day, the chief of security for an association shall deliver a written report to the stewards regarding occurrences on association grounds on the previous day. Not later than 24 hours after an incident occurs requiring the attention of security personnel, the chief of security shall deliver to the stewards a written report describing the incident. The report must include the name of each individual involved in the incident, the circumstances of the incident and any recommended charges against each individual involved.
- (7) Race day Security Measures, such as the following, shall be enacted:
  - (a) The administration of any controlled therapeutic medication to a horse within 24 hours of the scheduled post time for which a horse is entered to compete shall result in a scratch except for the Administration of furosemide as permitted in ARCI-011-020 (F).
  - (b) Except in circumstances involving the health and/or safety of the horse, contact with a horse by a veterinarian other than an Official Veterinarian or

designee any time 24 hours *prior to the post time of the race for which a horse is entered to compete* may result in a scratch.

- (c) Contact with a horse within 24 hours prior to the post time of the race for which a horse is entered to compete (unless the horse has been previously scratched) shall only be by licensed personnel or an individual issued a visitor's pass or other identifying credential, notwithstanding veterinarians approved under Section 2 above.
- (d) All horses entered to compete shall be present on association property no less than five (5) hours prior to the scheduled post time of the race for which the horse is entered to compete. Horse(s) not arriving on racing association property at least five (5) hours prior to the scheduled post time of the race on the day for which the horse is entered to compete are subject to scratch, with discretion given to stewards to consider extenuating circumstances.
- (e) (Deferred 4-24-2013) All horses entered to compete shall be clearly identified by signs plainly stating "IN TODAY" displayed clearly next to or on the stall doors not less than twenty-four (24) hours prior to the scheduled post time of the race in which the horse is entered to compete, or be subject to scratch. "IN TODAY" signs should contain the name of the entered horse, along with a toll-free telephone number for track security in order to facilitate reporting violations. Copies of a horse identifier's list of entered horses with their tattoo numbers shall be made available to security personnel who patrol the general barn area to be used for checks of "IN TODAY" horses.
- (f) (Deferred 4-24-2013) All horses entered to compete that do not reside on racing association property and that arrive on racing association property within 24 hours of the post time of the race for which they are entered are required to go directly to the receiving barn, or other location authorized by the racing association, and be placed in an IN TODAY stall upon arriving on association grounds and are subject to heightened surveillance in order to prevent unauthorized access to horses that would provide an opportunity for inappropriate medication administration.
- (g) All horses on the association grounds may be required to report to a receiving barn, or other such location designated by the racing association, forty-five (45) minutes prior to the scheduled post time for the race in which the horse is entered to compete. Access to the receiving barn or other such location designated by the racing association should be controlled by security to prevent unauthorized access to horses.
- (h) Earned Surveillance:
  - (A) After serving a penalty for a violation involving an ARCI Class 1 or Class 2 foreign prohibited substance, except for controlled therapeutic substances as defined in these rules, all horses under the care of the trainer that served the penalty shall be included on an

earned surveillance list and may be required to report to a location designated by the racing association (which may be the receiving barn) eight (8) hours prior to the scheduled post time for the race in which the horse is entered to compete for a period of not less than 30 days and not more than 60 days.

(B) Such trainers meeting the criteria in section (A) above shall also be subject to increased scrutiny by security personnel, including, programs involving the use of security personnel assigned to directly monitor the Licensee for a period of not less than 30 days, and not more than 60 days, use of video surveillance, and/or increased random visits to the barn.

(C) Veterinarians who are the subject of medication violations involving RCI Class 1 or Class 2 foreign substances shall also be subject to increased scrutiny by security personnel, including, but not limited to programs involving the use of security personnel assigned to directly monitor the for a period of not less than 30 days and not more than 60 days.

- (i) Training of Security Personnel: Racing associations shall develop comprehensive training programs that enable backstretch security personnel to expand their knowledge and abilities in policing and securing the stable area. Associations should support and participate in available security training opportunities, such as those provided by the Thoroughbred Racing Protective Bureau (TRPB) and the Organization of Racing Investigators. These programs should promote use of “best practices” to secure horses on race day.
- (j) Reporting and Communication: All racing associations and commissions shall display and support a toll-free, anonymous tip line in both English and Spanish in one or more of the following locations: track kitchen, each barn in the stabling area and the receiving barn, as well as in the overnight sheets and the condition book. Association investigators should, after the conclusion of a reasonable investigation and sufficient probable cause, through appropriate dissemination mechanisms such as TRPB, ensure information regarding alleged untoward activity on the part of licensees, improper race-day substances, or other useful or actionable intelligence gleaned during their race meeting is reported to the racing commission investigators.

## B. Fire Prevention

- (1) An association shall develop and implement a program for fire prevention on association grounds. An association shall instruct employees working on association grounds of the procedures for fire prevention.
- (2) Not later than \_\_\_ days before the first day of a race meeting, an association shall deliver to the Commission a copy of the state or local fire marshal's certification regarding the association's compliance with fire safety regulations or the fire

marshal's plan of corrections. The certification or plan must be based on an inspection of the association grounds conducted by the fire marshal not more than 30 days before the first day of a race meeting.

- (3) No person shall:
  - (a) smoke in stalls, feed rooms or under shed rows;
  - (b) burn open fires or oil and gas lamps in the stable area;
  - (c) leave unattended any electrical appliance that is plugged-in to an electrical outlet.
  - (d) permit horses to come within reach of electrical outlets or cords;
  - (e) store flammable materials such as cleaning fluids or solvents in the stable area;  
or
  - (f) lock a stall which is occupied by a horse.
- (4) An association shall post a notice in the stable area which lists the prohibitions outlined in 3a-f above.

#### C. Insect and Rodent Control

An association and the licensees occupying the association's barn area shall cooperate in procedures to control insects, rodents or other hazards to horses or licensees.

#### D. Performances

- (1) The hours of racing, the number of races per race day and the post time for the first race of each race day are subject to the approval of the Commission.
- (2) An association shall deliver to the Commission for approval a copy of the first condition book for a race meeting at least \_\_\_ days before the first day of the race meeting. The association shall deliver to the Commission, upon publication, a copy of each subsequent condition book.

#### E. Complaints

- (1) An association shall designate a location and provide personnel who shall be readily available to the public to provide or receive information.
- (2) An association shall promptly notify the Commission of a complaint regarding:
  - (a) an alleged violation of the Act or a rule of the Commission;
  - (b) an alleged violation of ordinances or statutes;
  - (c) accidents or injuries; or
  - (d) unsafe or unsanitary conditions for patrons, licensees or horses.

#### F. Ejection and Exclusion

- (1) An association shall immediately eject from the association grounds a person who is subject to such an exclusion order of the Commission or stewards and notify the Commission of the ejection.
- (2) An association may eject or exclude a person for any lawful reason. An association shall immediately notify the stewards and the Commission in writing of any person ejected or excluded by the association and the reasons for the ejection or exclusion.

## G. Responsible Gambling

As a condition of licensure an association shall implement a problem gambling program appropriate to the circumstances of the licensee, incorporating concepts and methods outlined in the Responsible Wagering Resources Guide for Race Track Managers (available from the Winners Federation, Inc.; P.O. Box 46098; Chicago, Illinois 60646-0098; tel. 847 477-3551), or an appropriate and comparable resource.

## H. Posting of Jockey Insurance Coverage

- (1) An association shall have on file with the commission a copy of the actual policy and post in the jockeys' quarters a summary of the association's insurance coverage for jockeys who are injured while on the grounds of the association and shall, upon the request of any licensed jockey who is participating in the race meeting, provide a copy of the policy of such insurance. Such request shall be made in writing to a racing official designated by the association in the notice to respond to such requests.
- (2) In the event that the insurance policy is changed during the race meeting the association shall promptly notify the commission and post a notice of any such changes.

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

Version 3.1 to 3.2 ARCI 12/9/04 NAPRA 12/9/04: Amended new rule and language added

Version 4.9 to 5.0 ARCI Board 12/9/11: Added Posting of Jockey Insurance Coverage

Version 5.1 to 5.2 ARCI Board 7/25/12: Added language to Security