



HORSERACING INTEGRITY
AND SAFETY AUTHORITY

HISA Trainer Handbook

Published: June 29, 2022

Version 1.01

To our partners in racing,

Like you, I care deeply about equine athletes. Thoroughbred racing is awe-inspiring, thrilling and humbling, and we're all lucky to work with these incredible animals that set our sport apart from all others.

I've worked in equestrian sports for more than a decade, and in my current role at the helm of HISA, I've had the opportunity to collaborate with stakeholders and experts from inside and outside our industry. To say that I'm impressed with the level of commitment to this sport and its athletes is an understatement. We are on the cusp of a new era in racing's centuries-long history and together, we are modernizing thoroughbred racing and ensuring its future for generations to come.

Our mission is to protect the wellbeing of equine and human athletes, as well as the integrity of our sport. Our collective success depends on continued collaboration among the diverse array of devoted individuals and organizations that make up this industry. I'm proud of the efforts we've already made to establish and implement, for the first time, uniform safety and integrity rules in racing, and I look forward to continuing to build on that progress in the months and years to come.

The uniform safety rules laid out in this handbook are effective as of July 1, 2022, and all racing participants must register with HISA at www.hisaus.org by that date.

As you read through this handbook and familiarize yourself with the rules of HISA's Racetrack Safety Program that are most relevant to the important work you do, please keep in mind that HISA is here for the good of the industry. We are here to help and are always available to you if you have questions.

Our website has many more details about HISA's programs and progress to-date. I encourage you to reach out to me personally with thoughts, comments and questions as we endeavor, together, to make racing safer and level the playing field for every participant, fan and better.

With much gratitude,

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HISA Trainer Handbook



IMPORTANT:

This handbook presents a narrative overview of HISA's rules as approved by the Federal Trade Commission under the Horseracing Integrity and Safety Act of 2020. Please visit www.hisaus.org to read the full text of HISA's rules.

Trainers must register themselves and Horses in their care with HISA by July 1st, 2022

Registration:

If you are licensed by a state racing commission as a Trainer, you must register with HISA in order to participate in Thoroughbred Horse racing. Trainers must also register every Covered Horse in their care. Once registered the Trainer will become the Horse's "Responsible Person" (see "Terms to Know" below). Your employees, such as grooms and hotwalkers, are also required to register with HISA. Although you are not required as a Trainer to register them, you should encourage them to do so. More information on registration can be found here: www.hisaus.org.

Terms to Know

Covered Person:

All Trainers, Owners, Breeders, Jockeys, Racetracks, Veterinarians, and Persons licensed by a State Racing Commission, and the agents, assigns, and employees of such persons and other Horse support personnel who are engaged in the care, training, or racing of Covered Horses.

Covered Horse:

Any Thoroughbred Horse beginning on the date of the Horse's first timed and reported workout at a racetrack that participates in Covered Horseraces or at a training facility, or the date of a Thoroughbred Horse's first entry or nomination in a Covered Horserace, and ending on the date on which the Authority receives written notice that the Horse has been retired.

Responsible Person:

The individual designated in the registration with the Authority as the Responsible Person for a given Covered Horse in accordance with the rules of the Authority. At the Racetrack, this will almost always be the Trainer, and Trainer designation must be kept current with the Authority via your online dashboard created when you register. Responsible Persons have specific record-keeping and reporting requirements, including for oral and topical medications prescribed and dispensed by your veterinarian but administered in the barn by you or your designated staff.

Trainers must maintain a record of medical, therapeutic, and surgical treatments and procedures for his or her Covered Horses.

Responsible Persons' Records (see Rules 2252–53):

Trainers are required to maintain a record of medical, therapeutic, and surgical treatments and procedures for every Covered Horse in his or her control. The records are not required to be submitted to HISA unless requested. The records for the previous 60 days must be made available for transfer to the new Trainer of a claimed Horse to optimize the care and health and welfare of the Horse.

Note that Trainer records are limited to Trainer *medical, therapeutic, and surgical treatment* records (that is, training records are not included in this requirement).

For purposes of this rule, treatment means:

- (1) the administration of any medication to a Horse by a Trainer or his or her designee; and
- (2) specifically excludes medications or procedures administered by a Veterinarian or that Veterinarian's employees.

Medical procedures include, but are not limited to, physiotherapy, acupuncture, chiropractic, and surgeries.

Optional templates for recording information are available on the hisaus.org website.

Note:

For Horses shipping in to race or work off the Vet's List after 30 days from a facility that is not under HISA's jurisdiction, Trainers must obtain 30 days of treatments and procedures.

Records for Horses Shipping to the Racetrack (see Rule 2253(a)):

If a Horse is not stabled at a facility under the Authority's jurisdiction for the full 30 days prior to a Race or Workout for purposes of removal from the Veterinarians' List, the Trainer shall obtain a record of medical, therapeutic, and surgical treatments and procedures for that Horse for the previous 30 days.

Optional templates for recording information are available on the hisaus.org website.

Note:

For Horses shipping in to race or work off the Vet's List after 60 days (*layup*) from a facility that is not under HISA's jurisdiction, Trainers must also obtain the last 30 days of rehabilitation activities

Records for Horses Shipping to the Racetrack (see Rule 2253(b)): If a Horse is not stabled at a facility under the Authority's jurisdiction for 60 days prior to a Race or Workout for purposes of removal from the Veterinarians' List, the Responsible Person shall also obtain the last 30 days of rehabilitation activities at the facility. The purpose of requiring this information is to help us understand what factors are associated with the high rate of catastrophic injuries that occur in Horses soon after return from layup. For this purpose, the information will be treated anonymously (Trainer, Horse, and layup/rehabilitation facility will not be disclosed).

Optional templates for recording information are available on the hisaus.org website.

New claiming rules

Void Claim Rule (see Rule 2262):

Claims are voided if the Horse dies, is euthanized, Bled, is vanned off the Racetrack, or is later found to test positive for a prohibited substance. Additionally, all claimed Horses go to the test barn for observation by a Regulatory Veterinarian. If a Regulatory Veterinarian determines within 1 hour of the race that the Horse will be placed on the Veterinarians' List as Bled, physically distressed, medically compromised, unsound, or lame before the Horse is released to the successful claimant, the claim is void.

Claims will not be voided if the Claimants elect on the claim slip to claim the Horse “regardless of whether the Regulatory Veterinarian determines the Horse will be placed on the Veterinarians’ List as Bled or unsound or the Horse tests positive for a Prohibited Substance.” The claim is not voided unless the Horse dies or is euthanized.

Waiver Claiming Option (see Rule 2263):

An Owner or Trainer may opt to declare a Horse ineligible to be claimed at time of entry into a Claiming Race provided: (a) The Horse has not started in 120 days; (b) the Horse’s last start must have been for a claiming price; and (c) the Horse is entered for a claiming price equal or greater than the price it last started for.

Transfer of records for claimed Horse

Transfer of Claimed Horse Records (see Rule 2261):

A Trainer consents to transfer Trainer treatment records and veterinary examination and treatment records by entering Horses in a Claiming Race.

Optional templates for recording information are available on the hisaus.org website.

When a Horse is successfully claimed by a new Trainer, the previous Trainer must transfer Trainer records to the new Trainer within three (3) days of transfer of the Horse to the new Trainer.

Note:

‘Trainer records’ include only records of medical, therapeutic, and surgical treatments and procedures. Required records do NOT include other materials related to training techniques or protocols.

The veterinary treatment records submitted to HISA by the Attending Veterinarian are associated with the Horse’s data record and as such, they travel with the Horse. As soon as the Designated Owner and/or Responsible Person (usually the Trainer) are changed in the HISA System, the new Designated Owner and Responsible Person will have access to the veterinary treatment records of the claimed Horse.

However, the Trainer treatment records, which are only required to be maintained by the Trainer (and not submitted by the Trainer unless specifically requested by HISA), would be transferred according to the following process:

- a. The Claiming Clerk will process the claim, changing the Responsible Person and/or Designated Owner to the new Designated Owner and/or Responsible Person (in the HISA System).
- b. A message will be sent to both the Current Responsible Person and the new Designated Owner and/or Responsible Person (using HISA Messaging System) directing the process for transfer of Trainer treatment records.
- c. The Current Responsible Person will be directed to a Claim Form on the HISA website for listing all treatments performed on the Horse within the last 60 days, including medical, therapeutic, and surgical treatments.
- d. The Current Responsible Person will send the completed Claim Form to the new Designated Owner and/or Responsible Person outside of the HISA System. For example, the Current Responsible Person obtains the contact information of the new Designated Owner/Responsible Person from the Claiming Clerk so they can email the form.
- e. A message will be sent to the new Designated Owner and/or Responsible Person asking them to confirm receipt of the Horse records.

Note:

Trainers are not required to maintain nor transfer Horse training records, nor are they required to transfer records created prior to July 1. Therefore, if a Horse is claimed on July 15, Trainers are only expected to transfer 15 days of records.

Veterinary-Client-Patient Relationship

Veterinary Restrictions (see Rules 2220-2230):

A valid veterinarian-client patient relationship (“VCPR”) between a Veterinarian, the Owner (who may be represented by the Trainer) and the Covered Horse must be established before a drug can be prescribed, dispensed, or administered by a Veterinarian.

Such relationship requires the following:

- The Veterinarian, with the consent of the Trainer (on behalf of the Owner), has accepted responsibility for making medical judgments about the health of the Horse;
- The Veterinarian has sufficient knowledge of the Horse to make a preliminary diagnosis;
- The Veterinarian has performed an examination of the Horse;
- The Veterinarian is available to evaluate and oversee treatment outcomes;
- The relationship is maintained by veterinary visits; and
- The medical judgments of the Veterinarian are independent and are not dictated by the Trainer or Owner of the Horse.

HISA facilitates initiation of the Trainer-Veterinarian-Horse relationship by providing a mechanism for the Trainer to assign an Attending Veterinarian to each Horse in the HISA Portal.

Attending Veterinarians shall not have contact with an entered Horse within 24 hours before the scheduled post time of the race in which the Horse is scheduled to compete unless approved by the Regulatory Veterinarian, or in an emergency.

New vaccination requirements will be enforced January 1, 2023

State and Racetrack vaccination, health certificate, and Coggins requirements remain in effect. Enforcement of the HISA vaccination requirements is delayed until January 1, 2023 to allow Horses to be vaccinated with previously unrequired vaccines at times that do not interfere with training and racing schedules. HISA-required vaccines must be administered by January 1, 2023.

Racehorse Monitoring (see Rule 2143):

On January 1, 2023, HISA stable gate entry requirements include a Certificate of Veterinary Inspection (CVI) within the prior 5 days (or fewer days if high risk situations dictate), negative Coggins test, and vaccinations:

- Verification of EEE/WEE/WNV, rabies, and tetanus vaccinations within the prior 12 months;
- Verification of Influenza and Rhinopneumonitis vaccinations within the prior 180 days (or fewer days if high risk situations dictate); and
- Verification of Negative Equine Infectious Anemia (Coggins) Test within the prior 12 months

There are four ways that vaccination information can be entered:

1. Entered by the Responsible Person when the Horse is first registered with HISA.
2. Entered in InCompass (Track Manager) when a Horse ships in, by someone in the Racing Office.
3. Entered by an Attending Veterinarian.
4. Entered by the Responsible Person through the HISA portal on an ongoing basis.

Rules concerning pin firing, freeze firing and blistering

Prohibited Practices (see Rule 2271):

The following are prohibited practices after July 1, 2022:

- (a) Use of physical or veterinary procedures to mask the effects or signs of injury so as to allow training or racing to the detriment of the Horse's health and welfare.
- (b) Use of extracorporeal shock wave therapy in a manner that may desensitize any limb structures during racing or training.
- (c) Surgical or chemical neurectomy to cause desensitization of musculoskeletal structures associated with the limbs. (This includes "heel-nerving.")
- (d) Thermocautery including but not limited to pin firing and freeze firing, or application of any substance to cause vesiculation or blistering of the skin, or a counter-irritant effect. †
- (e) Use of a device to deliver an electrical shock to the Horse including but not limited to cattle prods and batteries.
- (f) Use of electrical medical therapeutic devices including magnetic wave therapy, laser, electro-magnetic blankets, boots, electro-shock, or any other electrical devices that may produce an analgesic effect within 48 hours of a training activity or of the start of the published post time for which a Horse is scheduled to race.*

† Notes:

- Pin firing and freeze firing of the shins (dorsal surface of the third metacarpal/metatarsal bones) are prohibited beginning July 1, 2022.
- Horses within the foal crop of 2022 or later will not be allowed to race if they have pin fired or freeze fired shins.

* Notes:

- 'Analgesic effect' means a pain-masking effect that would compromise the ability to determine a Horse's soundness. Therefore, those modalities may be used for other purposes.
- 'Training activity' means a published high-speed work.

Horses treated with shockwave therapy are not allowed to race or breeze for 30 days

Shockwave Disclosure (see Rule 2272):

Use of shockwave machines is limited to licensed Attending Veterinarians. All machines must be registered and approved for use by the state racing commission and used at an approved location.

- Planned use must be disclosed to the Regulatory Veterinarian no less than 48 hours **prior** to use.
- Treatments must be reported to the Regulatory Veterinarian within 48 hours once complete.
- Note that failure to report is a serious violation.
- **Note that Horses treated with shockwave are not eligible to race or BREEZE for 30 days.**

Veterinarians' List

Veterinarians' List (see Rules 2240–2242):

- **Illness:** Ineligible to race for 7 days.
- **Shockwave treatment:** Ineligible to race or **breeze** for 30 days. See Shockwave section in this document for important disclosure and reporting requirements.

- **Physically distressed or medically compromised:** Ineligible to enter until health has been declared by an Attending Veterinarian or demonstrated to the Regulatory Veterinarian.
- **Epistaxis:** Ineligible to race for 14 days first-time, 30 days for the second time within 365 days, 180 days for the third time within 365 days, and shall be barred from further racing after the fourth time within 365 days. Additionally, Horses must work in front of a Regulatory Veterinarian and satisfy the same requirements as a Horse placed on the List as unsound.
- **Recency:** Horses which have not started in more than 365 days and Horses which have not made a start prior to January 1 of their 4-year-old year must satisfy the same requirements as a Horse placed on the List as unsound prior to entry.
- **Unsoundness:** Horses placed on the List as unsound are ineligible to enter until released by a Regulatory Veterinarian. Horses placed on the Veterinarians' List multiple times for unsoundness within the previous 365 days shall remain on the Veterinarians' List for 45 days for the second time, 75 days for the third time, and shall be barred from further racing after the fourth time.

The process for requesting a work for removal from the Veterinarians' List is:

- The Trainer will request through the HISA Portal to the Attending Veterinarian to observe the Horse together.
- Trainer and Attending Veterinarian observe Horse jog together.
- The Attending Veterinarian goes into the HISA Portal and clicks on the message from the Trainer – and indicates whether the Horse has passed (or failed) the examination.
- The Trainer will receive the message notification from the Attending Veterinarian and if the response was 'pass', then the Trainer will have the option to send a message through the HISA Portal to the Regulatory Veterinarian to request to work the Horse before the Regulatory Veterinarian.
- Trainer and Regulatory Veterinarian find a day/time for the Horse to work for purposes of getting off of the Veterinarians' List (outside of the HISA Portal system).
- A post-work inspection will be conducted by the Regulatory Veterinarian, and biologic samples may be taken for testing.
- When the Horse passes the work before the Regulatory Veterinarian, the Regulatory Veterinarian will enter in Track Manager (InCompass) that the Horse is removed from the Veterinarians' List.
- **If before, during, or after the workout for removal from the Veterinarians' List, the Horse is deemed to be unsound or to have Bled, the stay on the Veterinarians' List shall be extended an additional 14 days.**

Diagnostic testing or imaging may be required for any Horse placed on the Veterinarians' List, at the discretion of the Safety Director, Regulatory Veterinarian, or Association Veterinarian.

New horseshoe requirements

Horseshoes (see Rule 2276):

Traction devices, with the exception of 2mm full outer rims on dirt or synthetic surfaces, are prohibited on forelimb and hindlimb Horseshoes during racing and training.

Note:

New horseshoe requirements will not be enforced until August 1, 2022 to ensure adequate inventory of HISA compliant horseshoes.

All Trainers and assistant Trainers are required to complete 4 hours of continuing education every year

Continuing Education (see Rule 2182):

Trainers and assistant Trainers must complete, on an annual basis, at least 4 hours' annual continuing education. Approved continuing education programs will be identified on the HISA website, and will include online courses.

New requirements for Racetracks

Racetrack Safety and Welfare Committee (see Rule 2121):

Racetracks are required to form a Racetrack Safety and Welfare Committee to review the circumstances around fatalities, injuries, and racetrack safety issues with the goal of identifying possible contributing risk factors that can be mitigated. The Regulatory Veterinarian for the jurisdiction shall chair the Committee. You may be interviewed or asked to meet with members as part of their work. The purpose of this Committee's work is educational, not disciplinary.

Safety Director (see Rule 2131):

Racetracks are required to name a Safety Director. This position is responsible for, among other things, overseeing equine safety, racetrack safety, risk management, and injury prevention and reporting.

Regulatory Veterinarians (see Rule 2135):

Regulatory Veterinarians are authorized to have access to and inspect any Horses housed on racetrack grounds, regardless of entry status, observe Horses during training activities, and place Horses on the Veterinarians' List at any time.

Pre-Race Inspections see (see Rule 2142):

Someone who is knowledgeable about the Horse and able to communicate with the Regulatory Veterinarian must present Horses on race day for inspection. Horses presented for inspection must have bandages removed, and the legs must be clean and dry. Prior to inspection, Horses may not be placed in ice and no device or substance shall be applied that interferes with veterinary clinical assessment. Inspections will include palpation and observation in motion.

Health Certificates and Shipping In and Out (see Rule 2143):

Stable gate entry requirements have changed, and proof of certain vaccinations will be required. Racetracks are required to keep records of carriers and destinations for Horses leaving the grounds.

Necropsies (see Rule 2170):

All Horses that die or are euthanized on Racetrack grounds will be subjected to a necropsy (autopsy), including ponies.