

## GENERAL RULES AND REGULATIONS

### A. RULE CHANGE PROCEDURES

**Section 1.** Rule change submissions that may add, alter, or amend any rule in the *NRHA Handbook* may be submitted by any NRHA member in good standing, NRHA Committee, NRHA Staff, NRHA Board of Directors (“Board”), NRHA Executive Committee or NRHA Task Force.

**Section 2.** Only the Board can vote on and pass a rule change. Submission deadlines for rule change proposals will be published in the *NRHA Reiner* magazine (“*Reiner*”) and on the NRHA website. The Board must review all proposed rule changes during at least two meetings prior to taking a Board vote. All proposed rule changes must be published in the *Reiner* and posted on the NRHA website for membership review prior to a Board vote. The author may withdraw a rule change proposal at any time prior to the Board’s first review. The Board may make recommendations to modify a proposal or send the proposed rule change to the appropriate committees for review. On the day of the official Board vote, the rule change will either be passed or defeated as written, passed or defeated as amended, or no action will be taken.

**Section 3.** Each committee may review any proposed rule change and provide a recommendation to approve or disapprove the rule change.

**Section 4.** In the best interest of the NRHA and its members, the Executive Committee is empowered to make clarifications as needed to the NRHA Handbook, during day to day management, in instances where the rules are not clearly written or defined. Any changes under this provision will then be corrected in the manner outlined in the *NRHA Handbook*.

**Section 5.** After a rule has been changed and made effective, but contradictory or incomplete references still exist in the *NRHA Handbook*, the Executive Committee may approve for corrections to be made effective and updated on the current year’s electronic version. The corrections will be included in the following year’s *NRHA Handbook*.

### B. AFFILIATE COMPLIANCE

Renewing NRHA Affiliates shall submit Affiliate dues and a complete and correct annual renewal application listing officers who must be NRHA members in good standing for the current year by January 31. NRHA Affiliates failing to meet application requirements by the due date will be held in “suspended business” status—including show approvals—until the required application has been received, or until March 1. If the application is still outstanding or Affiliate officers are not current members in good standing by March 1, Affiliate status will be annulled. Annulment status will be published in the *Reiner*. After March 1, an annulled Affiliate may apply for renewal by paying a \$50 re-instatement fee and submitting a completed affiliate renewal application

representing officers who are current NRHA members in good standing.

### **C. INTERNATIONAL AFFILIATE PROGRAM**

Designation as an NRHA National Association Affiliate (“NAA”) is a privilege, not a right, bestowed by the Board, according to procedures formulated by the Executive Committee.

#### **Section 1. National Association Affiliate Rights and Responsibilities:**

(a) Reining organizations outside of the U.S. must first be granted Regional Affiliate status. Once the group has been a Regional Affiliate in good standing for at least a year, has twenty-five (25) NRHA members in good standing, and meets specified show requirements, that Affiliate will have the right to apply for the NAA program. October 31 is the deadline to apply for NAA participation for the next calendar year.

(b) Once NAA status has been granted and the NAA has reached one-hundred (100) NRHA members, the NAA will have the right to apply for the NRHA International Affiliate Program (“IAP”). Each NAA will inform the NRHA by October 31 of the year prior whether it wishes to adopt the program for the next calendar year.

#### **Section 2. NRHA International Affiliate Program Rights and Responsibilities:**

(a) The National Association may elect to establish a joint membership between the National Association Affiliate and the NRHA.

(b) All Reining events will be NRHA approved.

(c) All records will be maintained in the official NRHA database.

#### **Section 3. In support of the International Affiliate Program, NRHA will agree to the following:**

(a) Recognize the NAA as the organization to govern and lead the sport of Reining on a national level within that country.

(b) Rebate to the NAA \$20 for each member in that country who is also an NRHA member (General, Non Pro or Professionals) in good standing.

(c) Rebate to the National Affiliate fifty percent (50%) of NRHA’s show fees for every show that is NRHA approved and held either inside that country’s geographic borders, or run under the auspices of that NAA.

(d) Authorize that protests originating within a respective country be adjudicated by the NAA for that country. The appeals process will be to the Executive Committee.

(e) The NAA may take other action such as prohibiting the member from attending or competing in events hosted by the NAA, provided that such action is handled in accordance with the NAA’s bylaws.

(f) Authorize the NAA to make recommendations on all

show approvals within that country.

(g) Maintain historical and database records for participating International Affiliate Program NAAs and to provide that information upon request.

## **D. DISCIPLINARY PROCEDURES**

**Section 1.** NRHA membership carries responsibilities as well as certain rights. Any member may be disciplined, fined, or have his/her membership revoked or suspended for good cause. The Executive Committee may deny membership when it, in its sole discretion, establishes that a non-member is not a worthy candidate. See NRHA Bylaws.

**Section 2.** Anyone who becomes an NRHA member is subject to all portions of the Bylaws, Rules and Regulations, and accepts and agrees to be bound by all the Bylaws, Rules and Regulations, Terms and Conditions of this *NRHA Handbook*.

**Section 3.** Anyone who becomes an NRHA member or is subject to any portion of the Bylaws, Rules and Regulations, Terms and Conditions of this *NRHA Handbook* renounces any recourse which he or she may have against the Association in connection with the enforcement of those rules. This would include any associated or related corporation, trust, or other business entity.

### **Section 4. Protest and Complaint Filing Procedures.**

(1) Violations, including false declarations, of the *NRHA Handbook* discovered by NRHA during the course of business shall be referred to the NRHA President, Commissioner, and Legal Counsel to determine the need to refer the matter to a hearing body.

(2) **Protest and Complaint Filing:** When a member in good standing believes that the conduct of another member or non-member warrants disciplinary action, or a violation of NRHA Rules and Regulations has occurred at an NRHA approved event, he or she must file a valid written, signed protest or complaint with the NRHA office within fifteen (15) days of the actual incident, and/or within fifteen (15) days of having gained knowledge of the incident. NRHA may act on infractions outside of fifteen (15) days to protect the integrity of the Association, welfare of the horse, or safety of NRHA members.

(3) Protest and complaint submissions are not considered valid without the appropriate information. Requirements to properly submit a protest or complaint include:

(a) Name of accused

(b) Event name, date and location

(c) Accused allegation and section of the *NRHA Handbook* violated

(d) Witness list with contact information

(e) Detailed description and/or evidence of the allegation or complaint.

(f) \$250 filing fee

(4) Protest and Complaint Filings for which \$250 filing fee is waived:

(a) Standing or Additional Committee, as a committee and/or committee chair, if the alleged rule violation falls within that committee's domain.

(b) Show Stewards/Show Representatives involved as officials at an event who are not directly involved as an exhibitor of a particular class in question.

(c) Judges' Grievances that forth conduct warranting disciplinary action. See "Judges Guidelines."

(d) Show Managers or Show Secretaries who are involved as officials at an event.

(5) One-half of the filing fee (\$125) will be refunded in the event sanctions issued by the Hearing Body.

(6) Past history may be considered for all disciplinary matters.

(7) The Executive Committee may, by giving written notification, temporarily suspend a member for any action considered egregious. The effect shall be to deny further NRHA privileges until the Investigative Review Committee ("IRC") and/or Hearing Body can hear the matter and take appropriate disciplinary action, if deemed necessary.

#### **Section 5. Investigation Review Committee.**

(1) Each properly filed protest or complaint will be assigned to an IRC.

(2) The NRHA President will appoint three (3) members from the Board of Directors to serve on an IRC.

(3) One (1) member/director will be appointed as the IRC manager; he/she will be responsible for presenting facts to the Hearing Body if deemed necessary.

(4) The IRC is responsible for a preliminary review of the assigned protest or complaint.

(5) Upon review, the IRC may reject or advance the case to the full Hearing Body for final resolution.

(6) If the IRC finds the protest or complaint is sufficient to warrant a hearing, all parties will be advised accordingly. However, the IRC may issue a letter of concern or reprimand to any party or parties relative to the matter.

(7) If the IRC advances the case to the Hearing Body, the accused shall be given not less than a 30-day notice as to the time and place of the hearing. Said time period requirement may be waived by the accused.

(8) The IRC manager will present the facts of the case at the hearing and will not be a voting member of the Hearing Body.

(9) Members of the IRC, all evidence, statements and documents relating to a case will be confidential.

(10) The Board may remove any member of the IRC at any time, for any reason, by a majority vote. The empty seat will be filled through the appointment process.

(11) The IRC may request an NRHA Committee recommendation

prior to determining whether to advance or reject of any case.

(12) The IRC may submit a sealed, confidential recommendation for discipline, to be opened only if there is a hearing and the Hearing Body has determined that disciplinary action is warranted.

(13) If the IRC decides to forward a case to the Hearing Body, the NRHA President, Commissioner and Legal Counsel may offer the accused the IRC's recommended sanctions. Should the accused verbally accept the sanctions, a written finding and acceptance letter will be forwarded to the accused. When the letter is signed and returned, the sanctions will become effective immediately as if the Hearing Body had heard the matter, and the protest shall be considered final.

### **Section 6. Hearing Body.**

(1) The Hearing Body shall consist of five (5) members: composed of two (2) members of the Board, and three (3) nominated external NRHA members in good standing.

(2) The Executive Committee is responsible for nominating prospective members of the Hearing Body. The Board will give final approval to the nominees. Once the nomination and approval process is complete, the Hearing Body shall function independent of the Executive Committee and Board.

(3) The term of office for a member of the Hearing Body shall be two (2) years.

(4) No term limitations apply and a current member of the Hearing Body may be re-nominated.

(5) For the first year of nominations one (1) member of the Board of Directors and two (2) NRHA members will be elected for a one (1) year term, the remaining one (1) Board member and one (1) NRHA member shall be nominated for a two (2) year term.

(6) If a member of the Hearing Body cannot finish a term, an individual will be nominated and approved to fulfill the remainder of that term.

(7) The Board may remove any member of the Hearing Body at any time, for any reason, by a majority vote. The empty seat will be filled through the nomination and approval process.

(8) In the event a protest or complaint is received by the Hearing Body, the Hearing Body shall be responsible for the conduct of all disciplinary activity involving members of NRHA.

(9) The decision and action of the Hearing Body shall be final and binding upon all parties. However, any aggrieved party to any protest may appeal its decision upon the notification and payment of a \$500 fee to the NRHA within ten (10) days (post-mark) of the Hearing Body's announcement.

(10) The Executive Committee will review the appeal de novo and will either support or overturn the Hearing Body's decision. If a member of the Executive Committee is elected to serve on

the IRC or Hearing Body, he or she will not be allowed to participate in the appeals process.

(11) If Executive Committee members are involved in the investigation, the Board shall have the right to appoint members to fill their vacancies during the appeals process.

(12) The makeup of the Hearing Body will be confidential. All evidence pertaining to a case, all testimony in the hearing, and all Hearing Body member deliberations will be confidential.

### **Section 7. Hearing Procedures.**

(1) All disciplinary hearings shall be held at the NRHA's principal office, or any other location as determined by the Hearing Body.

(2) A telephonic conference call may be used to achieve a quorum of the Hearing Body.

(3) If a quorum cannot be achieved, the accused may elect to continue with the disciplinary hearing with less than a quorum, or he/she may delay the hearing until a quorum can be achieved.

(4) When the accused requires a quorum and it cannot be achieved because of disqualifications or recusal by Hearing Body members, the NRHA President shall appoint additional members from the Board to hear the disciplinary matter.

(5) All parties shall have the opportunity to appear in person at the hearing, with or without counsel, to present evidence and testimony on his or her own behalf, and to hear and refute any evidence offered against him/her or entity. Should the accused choose to appear at the hearing, he/she does so at his/her own expense. Additionally, any costs associated with counsel shall be borne by the accused, regardless of the hearing's outcome. The parties will receive a decision from the Hearing Body as soon as possible after deliberation.

(6) Proceedings before the Hearing Body shall be informal, and rules of evidence, both at common law or provided by Oklahoma rules of civil or criminal evidence, need not be strictly observed. The standard by which admissibility is determined is whether the evidence is such that an ordinary prudent person is willing to rely upon it. As an NRHA member, or a person appearing before the Hearing Body, the accused person agrees that all witnesses and participants in such hearing shall be immune from any civil liability whatsoever, including, but not limited to, libel, slander, invasion of privacy, defamation or product of disparagement, for testimony given at—or in preparation for—the hearing.

**Section 8. Hearing Results.** Except as provided elsewhere in the *NRHA Handbook* in regard to any violation of NRHA Rules and Regulations by an individual, member, non-member, or entity, the Hearing Body shall impose at a minimum the following sanctions:

(1) First Offense, not less than thirty (30) days probation.

(2) Second Offense, not less than thirty (30) days suspension.

(3) Third Offense, not less than a one-year suspension.

(a) If the Hearing Body does not feel there has been a violation of the *NRHA Handbook*, but feels the matter should be addressed, the Hearing Body is authorized to issue a letter of concern or reprimand to any party or parties.

(b) In addition to the minimum sanctions set forth above, the Hearing Body has jurisdiction to invoke additional sanctions, including but not limited to: revocation and/or denial of membership privileges, revocation of participation privileges in any or all NRHA approved events, denial of privilege of access or presence on the show grounds of an NRHA approved event; denial of privilege to advertise in NRHA's official publications, and/or assessment of a fine.

(c) In the case of a violation by a show committee, Affiliate, similar organization, or by the NRHA itself, the Hearing Body may take such action as necessary to remedy the violation and, where appropriate, discipline accordingly.

(d) Sanctions shall continue beyond the original sanction period ordered by the Hearing Body so long as there is any unfulfilled or uncompleted requirement, such as the return of prize money, prizes, trophies, payment of fines, etc. In the event a sanction or requirement is unfulfilled or unsatisfied after sixty (60) days, that person's membership shall be automatically revoked. After fulfilling all obligations, that person may reapply for membership and other previously held privileges such as Judging, Steward, Show Secretary, Professionals and Non Pro privileges subject to review and approval by the Executive Committee.

(e) When a member is disciplined, the Hearing Body's findings or order will be presented to the Board. The NRHA has the right to publish the name of any member, or non-member in the appropriate disciplinary list.

**Section 9. Legal Actions.** Every member, former member, and non-member, including any corporation, LLC, partnership, trust, estate, or other legal entity that may be subject to these rules at any time, agrees that he, she, or such entity will not commence any action, whether in law or equity, against the NRHA in any courts other than those federal and state courts located in Oklahoma County, Oklahoma. If unsuccessful in any attempt to overturn any NRHA decisions, actions, rules or regulations, said person or entity agrees to reimburse NRHA for its reasonable attorney fees, court costs and other expenses in connection with the defense of such suit.

## **E. CAUSES FOR DISCIPLINARY ACTIONS**

### **Section 1. Non Pro Violations.**

(1) A Non Pro member shall follow the Non Pro Conditions as set forth in the *NRHA Handbook*.

(2) Non Pro violation protests must be submitted through the

NRHA Protest and Complaint Filing procedures within two years of the actual incident. See Disciplinary Procedures.

### **Section 2. Judge Violations.**

(1) The IRC may choose to request an Investigative Judges Review (IJR), prior to determining the advancement or rejection of any case.

### **Section 3. Abuse.**

(1) No one shall abuse or mistreat any horse in any manner whatsoever on the show grounds. Abuse is defined as an action, or failure to act, which a reasonably prudent person, informed and experienced in the customs, accepted training techniques, and exhibition procedures, would determine to be cruel, abusive, inhumane, or detrimental to the horse's health.

(2) Individuals will be subject to the disciplinary procedures if it is determined that there was a willful abuse of the horse.

### **Section 4. Unsportsmanlike Conduct.**

(1) Unsportsmanlike conduct will not be tolerated. Unsportsmanlike conduct shall be defined as any action of disrespect, misrepresentation, false statement, deceit or fraud directed to judges, show management, show representatives, show stewards, the NRHA, staff, members, or other exhibitors.

(2) Unsportsmanlike conduct shall also include failure to respond to any reasonable request by the NRHA, including failure to respond to disciplinary investigation inquiries.

## **F. CAUSES FOR DISCIPLINARY ACTION (PROTEST OR COMPLAINT NOT REQUIRED)**

**Section 1. Forfeitures.** Any rider participating in a class or division in which he/she (or the horse he/she is riding) is not eligible. See Show Conditions.

### **Section 2. Failure to Pay.**

(1) Any member, non-member, approved event, or Affiliate may be suspended and denied NRHA privileges for failure to pay when due any obligation owed to:

- (a) National Reining Horse Association;
- (b) Reining Horse Foundation;
- (c) *NRHA Reiner* magazine
- (d) An NRHA approved event; or
- (e) An NRHA recognized Affiliate.

(2) Obligations owed under these provisions to NRHA approved events and Affiliates, include but are not limited to: entry fees; stall fees; office charges; all costs and fees associated with a returned check; and any other fees or charges connected with the exhibition of reining horses. This rule shall apply to the rider, owner, or agent for any unpaid debts related to the entry, exhibition, showing, stalling, or any related fee at an NRHA approved event. Agent is defined as anyone who acts and/or signs on the behalf of an owner or rider.

(3) Fifteen (15) days prior to suspension or denial of



privileges pursuant to this section, NRHA will provide written notification of the amount due and the intention to suspend or deny privileges. See Reinstatement Guidelines for reinstatement procedures.

**Section 3. Court of Law Convictions.** When knowledge is gained of a conviction of an individual of a felony, animal abuse or moral turpitude under municipal, county, state or federal law, whether or not the NRHA is involved, the NRHA Executive Committee may subject the convicted person to disciplinary action. Any discipline imposed will be stayed pending completion of any statutory appeals. Proof of any appeal in process must be submitted to NRHA within thirty (30) days of notice of suspension. Acceptance of a conviction by NRHA will be given after notice to the sanctioned individual or entity may request a hearing before the Executive Committee to present lack of due process by the convicting court of law to merit NRHA's refusal to impose discipline. A request for hearing must be submitted within ten (10) days (postmark) of notice.

**Section 4. Disciplinary Actions by Other Equine Organizations.** The Executive Committee may accept disciplinary rulings pertaining to cruel or inhumane treatment and medication violations of horses from other recognized equine related associations, states, provinces, or countries. The effect of such acceptance is to suspend the individual from NRHA membership privilege, or for non-members, to deny membership privileges, for a length of time equal to the suspension for which reciprocity is given. Acceptance of such rulings by NRHA will be given after notice to the sanctioned individual or entity, who may request a hearing before the Executive Committee to present lack of due process by the reporting association to merit NRHA's refusal to give reciprocity. A request for hearing must be submitted within ten (10) days (postmark) of notice.

**Section 5. Failure to Comply with Suspension.** In the event a suspended member enters a horse as an owner, rider, agent or entity at any NRHA approved event during the suspension period, the NRHA will automatically impose an additional six (6) months of suspension, and all show prizes and awards will be forfeited to the NRHA as per the *NRHA Handbook*. In the event a suspended member is found to be involved with the management or production of an NRHA approved event, the NRHA Executive Committee may impose additional suspension on that member. Additionally, show management's future show approvals may be denied.

**Section 6. Other.**

(1) If the Hearing Body deems the submission of a protest to be malicious and/or frivolous, appropriate disciplinary action may be taken.

(2) Any member interfering with, or attempting to influence the outcome of, a protest investigation or hearing may be subject to NRHA disciplinary action. This would include

contact with any NRHA member that may have decision-making capability or any potential decision-making capability, including but not limited to the Board of Directors or Executive Committee.

### **Section 7. Revoked Membership.**

(1) Any member who has been suspended, for any reason, for more than five (5) consecutive calendar years will automatically have their membership revoked.

(2) If a member or entity was suspended and revoked for failure to pay, that person may re-apply for membership by fulfilling all outstanding obligations, paying the \$100 reinstatement fee and be subject to approval by the NRHA Executive Committee.

### **Section 8. Reinstatement Guidelines.**

(1) A member must pay all obligations as a result of failure to pay or any other fines assessed by the NRHA.

(2) A suspended member must pay the \$100 fee, in addition to regular membership application fees, to reinstate membership.

(3) A member receiving disciplinary action and/or suspension will lose all privileges (such as Professionals, Non Pro, Judges, etc.) for the duration of the disciplinary period.

(4) A disciplined and/or suspended members must make a written request to the Executive Committee to regain privileges (Professionals, Non Pro, Judges, Show Secretaries, Stewards, etc.) once the disciplinary period is concluded. The Executive Committee may request a recommendation from an NRHA Committee prior to making a decision.

(5) Once re-instated, the member shall be eligible for the same divisions as prior to the suspension, provided the eligibility criteria did not change during the disciplinary/suspension period.

## **G. Animal Welfare and Medications Provisions Applicable to all NRHA Events.**

It is not NRHA's intention to conflict with rules and regulations of states, provinces or countries in regards to medications. In cases, where NRHA shows are held in states, provinces or countries with medications rules and regulations, the rules and regulations of the state, province or country take precedence.

### **Section 1. Testing**

(a) All horses entered in an NRHA approved class that meet the criteria of the NRHA Animal Welfare and Medications Policies are subject to examination by a licensed veterinarian who must be approved by NRHA. Said approved veterinarian may appoint a technician to perform certain duties under this rule. The examination may include physical, urine, blood tests and/or any other test or procedure at the discretion of said veterinarian necessary to effectuate the purposes of this rule.

(b) Persons responsible for a horse being tested who are

not able to accompany NRHA drug testing personnel and the horse to the location where sample collection is to take place, to act as witness to the collection and sealing of blood and urine samples, and to sign the drug collection documents in the appropriate places as witness, must appoint an agent to do so. The absence of such a witness shall constitute a waiver of any objection to the identification of the horse tested and the manner of collection and sealing of the samples.

**(c)** Upon the collection of a sufficient number of tubes of blood from the horse, the tubes shall be divided into two groups. One group shall be labeled and identified as Blood Sample A, and the other as Blood Sample B, and they shall be sealed accordingly. Upon the collection of a sufficient volume of urine from the horse, a portion of the sample shall be poured into a second urine sample container. One container shall be labeled and identified as Urine Sample A, and the other as Urine Sample B, and they shall be sealed accordingly. These procedures shall be performed whether or not the person responsible or his/her appointed witness is present as provided for in Section 1(b) above.

**(d)** In the event reasonable attempts at sample collections from the horse do not provide a sufficient number of tubes of blood or a sufficient volume of urine to be divided, labeled, and identified as Samples A and B, as determined by the testing veterinarian and/or technician, the sample(s) obtained (if obtained) shall be labeled and identified as Sample(s) A only, and it shall be recorded in the records of the Animal Welfare and Medications Program that the corresponding Sample(s) B does (do) not exist, in which event the obtained Sample(s) shall be subject to testing.

## **Section 2. Cooperation**

**(a)** Cooperation with the veterinarian and/or his agent(s) includes:

- i.** Taking the horse and the veterinarian and/or his agent(s) immediately to the location selected by said veterinarian and/or agent(s) for testing the horse and presenting it for testing.
- ii.** Assisting the veterinarian and/or his agent(s) in procuring the sample promptly, including but not limited to removing equipment from the horse, leaving it quietly in the stall and avoiding any distractions to it. Schooling, lengthy cooling out, bandaging and other delays of this type shall be construed as noncooperation.

## **Section 3. Responsibility and Accountability of Person(s) Responsible**

**(a)** A person responsible is defined as any adult or adults who has or shares the responsibility for the care, training, custody, condition, or performance of a horse whether said person be a trainer, owner, rider, agent and/or coach. Where a minor exhibitor has no person responsible, then

a parent, guardian or agent or representative thereof assumes responsibility.

**(b)** The person(s) responsible in the absence of substantial evidence to the contrary are responsible and accountable under the penalty provisions of these rules:

**i.** for the condition of a horse at an NRHA approved event and

**ii.** to know all of the provisions of General Rules and Regulations (G) (including any advisories or interpretations published in the *NRHA Reiner*) and all other rules and regulations of the NRHA and the penalty provisions of said rules. For purposes of this rule, substantial evidence means affirmative evidence of such a clear and definite nature as to establish that said person responsible, or any employee or agent of the person responsible, was, in fact, not responsible or accountable for the condition of the horse. If any person responsible is prevented from performing his or her duties, including responsibility for the condition of the horses in his or her care, by illness or other cause, or is absent from any NRHA approved event where horses under his or her care are entered and stabled, he or she must immediately notify the event secretary and, at the same time, a substitute must be appointed by the person responsible and such substitute must place his or her name on the entry blank forthwith. Such substitution does not relieve the regular person responsible of his/her responsibility and accountability under this rule; however, the substitute person responsible is equally responsible and accountable for the condition of such horses.

**(c)** The person responsible and owner acknowledge that the person responsible represents the owner regarding horses being trained or managed, entries, scratches for any reason and any act performed on any horse under the care and custody of the person responsible.

**(d)** In the case of a horse competing under the Therapeutic Substance Provisions, any person responsible or other person subject to these rules who actually administers, attempts to administer, instructs, aids, conspires with another to administer or employs anyone who administers or attempts to administer a forbidden substance to a horse which might affect the performance of said horse at an event approved by the NRHA without complying with Section 8 of the Animal Welfare and Medications Provisions, is subject to the penalties provided in the Animal Welfare and Medications Policies.

**(e)** Any person(s) responsible or person subject to these rules who administers, attempts to administer, instructs, aids, conspires with another to administer or employs anyone who administers or attempts to administer any substance to a horse by injection or by any other route of administration, whether the substance is forbidden or

permitted, at an event licensed by the NRHA, whether it be during a scheduled class in the competition ring, practice arenas, alleys leading into the arenas or any other public areas of the show grounds, is subject to the penalties provided in Section 5.

(f) Unless administered in a life-saving situation which should be done based on consultation with a veterinarian.

#### **Section 4. Results, Confirmatory Analysis, and Retest**

(a) Blood and urine samples labeled and identified as Samples A shall be subjected to chemical analysis by a laboratory with which NRHA has contracted for its services. Blood and urine samples labeled and identified as Samples B shall be stored securely, unopened, at the contracted laboratory, to be used in the event that a confirmatory analysis shall be required.

(b) In the event the chemical analysis of Blood or Urine Sample A is negative, i.e., no forbidden substance or any metabolite or analogue thereof is found to be present in the sample, the corresponding Blood or Urine Sample B shall be destroyed by the laboratory.

(c) In the event the chemical analysis of Blood or Urine Sample A is positive, i.e., a forbidden substance or any metabolite or analogue thereof is found to be present in the sample, this shall be prima facie evidence that the forbidden substance was administered in some manner to said horse, whether intentionally or unintentionally, or otherwise was caused to be present in the tissues, body fluids or excreta of the horse at the event, whether intentionally or unintentionally, such that the person(s) responsible deemed responsible and accountable for its condition is (are) liable under the provisions of Section 3.

(d) In the event the chemical analysis of Blood or Urine Sample A is positive, and upon the issuance of Notices of Charge to persons deemed responsible and accountable under the rules, a person charged who requests a confirmatory analysis of the corresponding Blood or Urine Sample B must make the request in writing to NRHA Counsel, and it must be received within 15 days of the date of the Notice of Charge.

(e) The confirmatory analysis of the corresponding Blood or Urine Sample B shall be performed by a drug testing laboratory that must be mutually agreed upon by the person charged who requests the confirmatory analysis and NRHA Counsel, which laboratory must have demonstrated proficiency in performing the necessary confirmatory analysis, provided the corresponding Blood or Urine Sample B exists and is of sufficient volume to permit a confirmatory analysis. In the event the drug testing laboratory that analyzed Sample A is the only laboratory that has demonstrated proficiency in performing the necessary confirmatory analysis, as determined by NRHA Counsel, this laboratory shall be the only laboratory to which NRHA Counsel shall agree to perform the confirmatory analysis of the corresponding Sample B.

Upon the completion of the confirmatory analysis, the laboratory performing the confirmatory analysis shall forward its findings and supporting data to all parties.

**(f)** In the event no agreement is reached as to a laboratory as required in Section 4(e) above, and the person charged who requests the confirmatory analysis does not revoke his/her request, the confirmatory analysis of the corresponding Blood or Urine Sample B shall be performed by the contracted laboratory as determined by NRHA Counsel, which laboratory shall forward its findings and supporting data to all parties. Both the results of the analysis of Sample A (and supporting data) and the results of the confirmatory analysis of the corresponding Sample B, if any (and supporting data, if any), shall be admissible as evidence in any hearing or proceeding pertaining to this matter.

**(g)** In the event the corresponding Blood or Urine Sample B does not exist, or is of insufficient volume to permit a confirmatory analysis, as determined by NRHA Counsel, and there exists a remaining aliquot of Blood or Urine Sample A which is of sufficient volume to permit a retest, as determined by NRHA Counsel, a person charged who requests the retest of Blood or Urine Sample A must make the request in writing to NRHA Counsel, and it must be received within 7 days of the determination that the corresponding Blood or Urine Sample B does not exist or is of insufficient volume to permit a confirmatory analysis.

**(h)** Any requested re-test of the remaining aliquot of Blood or Urine Sample A, provided it is of sufficient volume to permit a retest, shall be performed by the contracted laboratory as determined by NRHA Counsel.

**(i)** The retest of the remaining aliquot of Blood or Urine Sample A may be witnessed by a Witnessing Analyst appointed by the person charged who requests such analysis at the same time as the retest is requested. The Witnessing Analyst must be a qualified analytical chemist employed by an equine drug testing laboratory. If no Witnessing Analyst is appointed by the person requesting the retest, or if the Witnessing Analyst is unavailable within a reasonable time, the requested retest of the remaining aliquot of Blood or Urine Sample A shall proceed without the Witnessing Analyst.

**(j)** In the event the Witnessing Analyst appointed by the person requesting the retest of the remaining aliquot of Blood or Urine Sample A is satisfied that the positive result is correct, NRHA Counsel must be informed immediately by fax with confirmation by letter.

**(k)** In the event the Witnessing Analyst is not satisfied that the result of the retest of the remaining aliquot of Blood or Urine Sample A is correct, NRHA Counsel must be informed immediately by fax followed by a written report setting forth the basis for the Witnessing Analyst's opinion. Copies of the original and subsequent results and sup-

porting analytical data must be submitted to the NRHA as part of the hearing record in the case, for resolution by it of any and all issues regarding the original analysis of Blood or Urine Sample A and the retest of the remaining aliquot of Blood or Urine Sample A.

**(l)** By requesting the confirmatory analysis of the corresponding Blood or Urine Sample B, or the retest of the remaining aliquot of Blood or Urine Sample A, or by requesting that the retest be witnessed by a Witnessing Analyst, the person charged who makes such request(s) agrees to and must pay any and all fees, costs and expenses relating to the confirmatory analysis or the retest, whether it is performed by a mutually agreed upon laboratory, by the contracted laboratory upon the presentation of an invoice by NRHA Counsel, and any and all fees, costs, and expenses relating to the Witnessing Analyst.

**(m)** If the chemical analysis of the sample taken from such horse indicates the presence of a forbidden substance or any metabolite or analogue thereof and all the requirements of Section 8 have been fully complied with, the information contained in said Medications Report Form and any other relevant evidence will be considered by NRHA in determining whether a rule violation was committed by any person(s) responsible or accountable for the condition of the horse under the provisions of this rule.

**(n)** When a positive report is received from the chemist identifying a forbidden substance, or any metabolite or analogue thereof, a hearing will be held in accordance with General Rules and Regulations (D) and the Animal Welfare and Medications Policies with the Medications Hearing Panel serving as the hearing body and the Executive Committee serving as the appeal body. No person responsible or accountable for the condition of said horse, will be suspended, or a horse barred from competition, until after an administrative penalty has been assessed or after the conclusion of a hearing and a written ruling thereon has been made.

**(o)** The owner or owners of a horse found to contain a forbidden substance or any metabolite or analogue thereof may be required to forfeit all prize money, sweepstakes, added money and any trophies, ribbons and "points" won at said event by said horse and the same will be redistributed accordingly. If, prior to or at a hearing, NRHA as the charging party, determines that one or more persons, not previously charged as a person responsible should also be charged as a person responsible, then, upon application by NRHA, the Medications Hearing Panel may, in its discretion, continue or adjourn the hearing, in whole or in part, to permit a new or amended charge to be issued (unless the person(s) to be charged waive notice).

**(p)** A person responsible of a horse found to contain such forbidden substance or any metabolite or ana-

logue thereof is subject to whatever penalty is assessed by the Medications Hearing Panel, as provided by the Animal Welfare and Medications Policies. Said person responsible may be fined and may be suspended from all participation in NRHA approved events as outlined in the Animal Welfare and Medications Policies. In determining an appropriate penalty under these rules, the Medications Hearing Panel may take into account such factors and circumstances as it may deem relevant, including but not limited to:

- i. the pharmacology of the forbidden substance,
- ii. the credibility and good faith of the person charged or of other witnesses,
- iii. penalties determined in similar cases, and
- iv. past violations of any NRHA rules (or the lack thereof).
- v. reliance upon the professional ability or advice of a veterinarian who is a licensed graduate of an accredited veterinary school and who is in good standing in the state, province or country in which he/she primarily practices.

#### **Section 5. Management Procedures**

(a) Testing fees will be applied as described in the NRHA Animal Welfare & Medications Policy and NRHA European Region Animal Welfare & Medications Policy.

(b) Show management must forward to NRHA a sum representing the above fee times the number of horses entered in the nonexempt classes of the event, plus the number of horses scratched where the fee is not refunded. Shows failing to postmark the sum by ten business days following the completion of an NRHA event will be assessed a penalty of \$100. An additional penalty of \$500 will be assessed if postmarked after twenty business days.

(c) Event management must cooperate with the veterinarian and/or his agents.

#### **Section 6. Interpretations of the NRHA Animal Welfare and Medications Rule and its Application to Particular Substances.**

Trainers, persons responsible and/or owners who seek advice concerning the interpretation and application of this rule should not rely solely upon interpretations or advice by private or event veterinarians, event officials, event personnel, or other persons, but should also obtain verification of any such interpretations or advice from the NRHA Animal Welfare and Medications Program office. Any trainer, person responsible or owner who is uncertain about whether this rule applies in any given situation would be well advised to withdraw the affected horse from competition until such time as the NRHA Animal Welfare and Medications Program office has been consulted.

#### **Section 7. Equine Medications, The Therapeutic Substance Provisions**

(a) No horse competing in an event approved by NRHA is to be shown in any class (see also Section 1 (a), last



sentence) if it has been administered in any manner or otherwise contains in its tissues, body fluids or excreta a forbidden substance except as provided in Section 8. For purposes of this rule, a forbidden substance is:

- i.** Any stimulant, depressant, tranquilizer, local anesthetic, psychotropic (mood and/or behavior altering) substance, or drug which might affect the performance of a horse (stimulants and/or depressants are defined as substances which stimulate or depress the cardiovascular, respiratory or central nervous systems), or any metabolite and/or analogue of any such substance or drug, except as expressly permitted by this rule.
- ii.** Any corticosteroid present in the plasma of the horse other than dexamethasone (see Section (e)(ii)).
- iii.** Any nonsteroidal anti-inflammatory drug in excess of two present in the plasma or urine of the horse (Section 8 does not apply); exception: salicylic acid and topical use of diclofenac (Surpass) is permitted in addition to two additional nonsteroidal anti-inflammatory drugs.
- iv.** Any substance (or metabolite and/or analogue thereof) permitted by this rule in excess of the maximum limit or other restrictions prescribed herein.
- v.** Any substance (or metabolite and/or analogue thereof), regardless of how harmless or innocuous it might be, which might interfere with the detection of any of the substances defined in (i), (ii), (iii) or (v) or quantification of substances permitted by this rule.
- vi.** Any anabolic steroid.

**(b)** EXHIBITORS, OWNERS, TRAINERS, PERSONS RESPONSIBLE AND VETERINARIANS ARE CAUTIONED AGAINST THE USE OF MEDICINAL PREPARATIONS, TONICS, PASTES, AND PRODUCTS OF ANY KIND, THE INGREDIENTS AND QUANTITATIVE ANALYSIS OF WHICH ARE NOT SPECIFICALLY KNOWN, AS MANY OF THEM MAY CONTAIN A FORBIDDEN SUBSTANCE.

**(c)** The full use of modern therapeutic measures for the improvement and protection of the health of the horse is permitted unless:

- i.** The substance administered is a stimulant, depressant, tranquilizer, local anesthetic, drug or drug metabolite which might affect the performance of a horse or might interfere with the detection of forbidden substances or quantification of permitted substances; or
- ii.** More than two nonsteroidal anti-inflammatory drugs are present in the plasma or urine of the horse (Section 8 does not apply); exception: salicylic acid and topical use of diclofenac (Surpass) is permitted in addition to two additional nonsteroidal anti-inflammatory drugs; or
- iii.** The presence of such substance in the blood or urine sample exceeds the maximum limit or other restrictions prescribed herein below.

**(d)** Restrictions concerning the nonsteroidal anti-inflam-

matory drugs are as follows:

- i.** The maximum permitted plasma concentration of diclofenac is 0.005 micrograms per milliliter.
- ii.** The maximum permitted plasma concentration of phenylbutazone is 15.0 micrograms per milliliter.
- iii.** The maximum permitted plasma concentration of flunixin is 1.0 micrograms per milliliter.
- iv.** The maximum permitted plasma concentration of ketoprofen is 0.250 micrograms per milliliter.
- v.** The maximum permitted plasma concentration of meclofenamic acid is 2.5 micrograms per milliliter.
- vi.** The maximum permitted plasma concentration of naproxen is 40.0 micrograms per milliliter.
- vii.** The maximum permitted plasma concentration of firocoxib is 0.240 micrograms per milliliter.
- viii.** Upon the approval of eltenac by the FDA, the maximum permitted plasma concentration of eltenac is 0.1 micrograms per milliliter.
- ix.** A maximum of two substances listed in (i) through (vii) above are permitted to be present in the same plasma or urine sample (Section 8 does not apply); exception topical use of diclofenac (Surpass) is permitted in addition to two additional nonsteroidal anti-inflammatory drugs.
- x.** Phenylbutazone and flunixin are not permitted to be present in the same plasma or urine sample (Section 8.a.xi. does not apply).
- xi.** Any nonsteroidal anti-inflammatory drug not listed in (i) through (vii) above is forbidden to be present in the plasma or urine sample (Section 8 does not apply); exception: salicylic acid.
- xii.** Any nonsteroidal anti-inflammatory drug that becomes approved for use in horses can be added to the list of those permitted, after the completion, review and approval of the needed research.

**(e)** Restrictions concerning other therapeutic substances are as follows:

- i.** The maximum permissible plasma concentration of methocarbamol is 4.0 micrograms per milliliter.
- ii.** The maximum permitted plasma concentration of dexamethasone is 0.003 micrograms per milliliter.

**(f)** Thresholds for substances of possible dietary origin are as follows:

- i.** The maximum permissible urine concentration of theobromine is 2.0 micrograms per milliliter.

### **Section 8. Conditions for Therapeutic Administrations of Forbidden Substances**

**(a)** A horse exhibiting at an NRHA approved event pursuant to the Therapeutic Substance Provisions that receives any medication which contains a forbidden substance is not eligible for competition unless all of the following requirements have been met and the facts are furnished in writing on a timely-submitted official Medications Report Form:

- i.** The medication must be therapeutic and necessary for the diagnosis or treatment of an existing illness or injury. Any person responsible who is uncertain about whether a particular purpose is considered to be therapeutic would be well advised to consult his/her veterinarian or testing laboratory.
- ii.** The horse must be withdrawn from competition for a period of not less than 24 hours after the medication is administered.
- iii.** The medication must be administered by a licensed veterinarian in good standing, or, if a veterinarian is unavailable, only by the trainer/person responsible pursuant to the advice and direction of a veterinarian.
- iv.** Administration of a forbidden substance for non-therapeutic or optional purposes (such as, by way of example only, shipping, clipping, training, turning out, routine floating or cleaning of teeth, non-diagnostic nerve blocking, uncasting, mane pulling or non-emergency shoeing) is not considered to be therapeutic. Medications are permissible if administered prior to 24 hours prior to competition and is declared on a timely-submitted official Medications Report Form. (see Animal Welfare and Medications Policies for details on permissible therapeutic medications).
- v.** Identification of medication—the amount, strength and route of administration.
- vi.** Date and time of administration.
- vii.** Identification of horse, its name, age, sex, color and entry number.
- viii.** Diagnosis and reason for administration.
- ix.** Statement signed by person administering medication.
- x.** Medications Report Form filed with the Show Steward or Show Representative within one hour after administration or one hour after the Show Steward or Show Representative returns to duty after competition resumes if administration is at a time other than during competition hours.
- xi.** The Show Steward or Show Representative must sign and record the time of receipt on the Medications Report Form.
- xii.** Flunixin (Banamine) is a quantitatively restricted medication that may be used conditionally as a third NSAID and/or in addition to phenylbutazone to treat colic or ophthalmic emergencies only under the actual observation of event management (or designated representative) and/or official event veterinarian, either of which must sign the medication report form, to aid in instances of colic. A Medications Report Form must be filed with event management as required in this rule.
- xiii.** Lidocaine/Mepivacaine: Is a conditionally permitted medication that may only be used within 24 hours

of competition under actual observation of event management (or designated representative) and/or the official event veterinarian, either of which must sign the medication report form, to aid in the surgical repair of minor skin lacerations which, due to their very nature, would not prevent the horse from competing following surgery. Treatments include, but are not limited to, repair of heel bulb. A Medication Report Form must be filed with the event management as required in this rule.

**(b)** Where all the requirements of Section 8 have been fully complied with, the information contained in said Medications Report Form and any other relevant evidence will be considered by the NRHA in determining whether a rule violation was committed by any person(s) responsible or accountable for the condition of the horse under the provisions of this rule.

**NOTE:** The official Medications Report Form is available from the officiating Show Steward, Show Representative and/or Show Secretary. All required information must be included when filing a report. Failure to satisfy and follow all the requirements of this Rule and to supply all of the information required by such Medications Report Form is a violation of the rules. The Show Steward/Show Representative must report any known violations of this Rule to the NRHA for such further action as may be deemed appropriate.

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*If you have questions on medications, dosages, withdrawal times, or the like, please call the U.S. Equestrian Medications Hotline at 1-800-633-2472.*