

# Controlled Medication Rule Violations Sanctions



## Sanctions for Covered Persons (CP) for Controlled Medication Rule Violations

\*Days Listed=Period of Ineligibility

Controlled Medication Rule Violation		First Violation (Within 2-Year Period)	Second Violation (Within 2-Year Period)	Third or Subsequent Violation (Within 2-Year Period)
<b>Presence, Use or Attempted Use, or Administration or Attempted Administration of a Controlled Medication Substance</b>				
Controlled Medication Substance classifications can be found on the Horseracing Integrity and Safety Authority's Prohibited Substance Lists	Class A (e.g., valerianic acid /valerian root, propofol)	<ul style="list-style-type: none"> <li>- 60 days</li> <li>- Fine of up to \$5,000 or 5% of the total purse (whichever is greater)</li> <li>- Automatic Disqualification of Race Day Results</li> </ul>	<ul style="list-style-type: none"> <li>- 90 days</li> <li>- Fine of up to \$10,000 or 10% of the total purse (whichever is greater)</li> <li>- Automatic Disqualification of Race Day results</li> </ul>	<ul style="list-style-type: none"> <li>- 120 days</li> <li>- Fine of up to \$25,000 or 25% of the total purse (whichever is greater)</li> <li>- Automatic Disqualification of Race Day Results</li> </ul>
	Class B (e.g., lidocaine, detomidine)	<ul style="list-style-type: none"> <li>- 15 days</li> <li>- Fine up to \$1,000</li> <li>- Automatic Disqualification of Race Day results</li> </ul>	<ul style="list-style-type: none"> <li>- 30 days</li> <li>- Fine up to \$2,500</li> <li>- Automatic Disqualification of Race Day results</li> </ul>	<ul style="list-style-type: none"> <li>- 60 days</li> <li>- Fine up to \$5,000</li> <li>- Automatic Disqualification of Race Day results</li> </ul>
	Class C (e.g., phenylbutazone, methocarbamol)	<ul style="list-style-type: none"> <li>- Fine up to \$500</li> <li>- Automatic Disqualification of Race Day results</li> </ul>	<ul style="list-style-type: none"> <li>- 15 days</li> <li>- Fine up to \$1,000</li> <li>- Automatic Disqualification of Race Day results</li> </ul>	<ul style="list-style-type: none"> <li>- 30 days</li> <li>- Fine up to \$2,500</li> <li>- Automatic Disqualification of Race Day results</li> </ul>
<p><b>Note:</b> *Sanctions apply for each Controlled Medication Substance detected in the sample. A Stacking Violation (i.e., the detection of more than one NSAID or corticosteroid in a sample) is treated as a single violation for the purposes of sanctions.*</p>				
<b>Use or Attempted Use or Administration or Attempted Administration of a Controlled Medication Method</b>		<ul style="list-style-type: none"> <li>- 60 days</li> <li>- Fine of up to \$5,000 or 5% of the total purse (whichever is greater)</li> <li>- Automatic Disqualification of Race Day Results</li> </ul>	<ul style="list-style-type: none"> <li>- 90 days</li> <li>- Fine of up to \$10,000 or 10% of the total purse (whichever is greater)</li> <li>- Automatic Disqualification of Race Day results</li> </ul>	<ul style="list-style-type: none"> <li>- 120 days</li> <li>- Fine of up to \$25,000 or 25% of the total purse (whichever is greater)</li> <li>- Automatic Disqualification of Race Day results</li> </ul>
<b>Use of a Controlled Medication Substance or a Controlled Medication Method in a manner contrary to horse welfare</b>		<ul style="list-style-type: none"> <li>- 60 days</li> <li>- Fine of up to \$5,000 or 5% of the total purse (whichever is greater)</li> </ul>	<ul style="list-style-type: none"> <li>- 90 days</li> <li>- Fine of up to \$10,000 or 10% of the total purse (whichever is greater)</li> </ul>	<ul style="list-style-type: none"> <li>- 120 days</li> <li>- Fine of up to \$25,000 or 25% of the total purse (whichever is greater)</li> </ul>
<b>Possession of a Controlled Medication Substance/Method that is not in compliance with applicable state or federal law</b>		<ul style="list-style-type: none"> <li>- Fine up to \$500</li> <li>- Referral to the relevant state or federal authority</li> </ul>	<ul style="list-style-type: none"> <li>- 15 days</li> <li>- Fine up to \$1,000</li> <li>- Referral to the relevant state or federal authority</li> </ul>	<ul style="list-style-type: none"> <li>- 30 days</li> <li>- Fine up to \$2,500</li> <li>- Referral to the relevant state or federal authority</li> </ul>
<b>Complicity or Attempted complicity</b>		Same Consequences that apply to the principal actor, absent mitigating or aggravating circumstances.		

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## Penalty Points System

The penalty points system does not replace or lessen sanctions that apply to an underlying Controlled Medication Rule Violation. The penalty points system is intended to apply additional uniform consequences where the CP is a repeat offender and exceeds the permissible number of points.

CPs will be assigned penalty points as set out in the table below for each Controlled Medication Rule Violation that they commit. In most instances, the imposition of the specified penalty points is automatic, without considering mitigating or aggravating circumstances.

Penalty points are applied retroactively to start on the date on which the Controlled Medication Rule Violation occurred and expire after two years.

Controlled Medication Rule Violation		Penalty Points
<b>Presence, Use or Attempted Use, or Administration or Attempted Administration of a Controlled Medication Substance</b>		
Controlled Medication Substance classifications can be found on the Horseracing Integrity and Safety Authority's Prohibited Substance Lists	Class A (e.g., valerianic acid/ valerian root, propofol)	<b>3</b>
	Class B (e.g., lidocaine, detomidine)	<b>2</b>
	Class C (e.g., phenylbutazone, methocarbamol)	<b>1 ½</b>
Note: Points are assigned for each Controlled Medication Substance detected in the sample. A Stacking Violation shall be treated as a single violation.		
<b>Use of a Controlled Medication Substance or a Controlled Medication Method in a manner contrary to horse welfare</b>		<b>3</b>
<b>Use or Attempted Use or Administration or Attempted Administration of a Controlled Medication Method</b>		<b>3</b>
<b>Possession of a Controlled Medication Substance or Controlled Medication Method that is not in compliance with applicable state or federal law</b>		<b>1</b>
<b>Complicity or Attempted complicity in a Controlled Medication Rule Violation committed by another Person</b>		Same number of points that apply to the Responsible Person, absent mitigating or aggravating circumstances.
<b>Violation of Rule 3329 (violation of Provisional Suspension or Ineligibility prohibitions)</b>		Same number of points that apply to the Responsible Person, absent mitigating or aggravating circumstances.

Cumulative penalty points	Additional period of Ineligibility
<b>6-7</b>	<b>30 days</b>
<b>7.5-9</b>	<b>60 days</b>
<b>9.5-12</b>	<b>90 days</b>
<b>12.5 or more</b>	<b>180 days</b>



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## Notes

- Periods of Ineligibility run consecutively if more than one Controlled Medication Rule Violation is committed.
- Periods of Ineligibility may be reduced or eliminated for reasons unrelated to degree of Fault as per Rule 3326.
- Provisional Suspensions are generally not issued for alleged Controlled Medication Rule Violations.

## During a period of Ineligibility for a CP:

- A CP may not participate in any activity involving CHs, or in any other activity (other than authorized anti-doping education or rehabilitation programs) taking place at a racetrack or training facility and cannot permit anyone to participate on their behalf, except to the extent that the CP is an owner, and the activity is necessary to ensure the wellbeing of the CH during the owner's period of Ineligibility.

## The CH(s) of an owner or trainer who is subject to a Provisional Suspension or period of Ineligibility is subject to the following restrictions:

- CH(s) of a trainer serving a Provisional Suspension or period of Ineligibility cannot participate in official timed workouts or Covered Horseraces unless and until they have been transferred to another CP. However, such CH may participate in a Covered Horserace if it was entered into the Covered Horserace before the trainer was notified of the Provisional Suspension or before the period of Ineligibility was imposed or accepted (whichever is earlier). If the trainer's period of Ineligibility is more than 30 days, all of his/her CHs must be relocated to facilities under the care or control of a CP not affiliated with the suspended trainer.
- CH(s) of an owner who is subject to a Provisional Suspension or period of Ineligibility cannot participate in official timed workouts or Covered Horseraces unless and until they have been transferred in a bona fide transaction to a different owner. If an Immediate Family Member (as defined in Rule Series 1000: General Provisions) has any ownership or property interest in the CH(s) following such transfer, the transfer is not considered a bona fide transaction to a different owner.

## \*Notes about Stacking Violations:

- If one NSAID or one corticosteroid is detected in the Post-Race Sample or Post-Work Sample of a Covered Horse above the applicable [Screening Limit](#), it constitutes a presence violation under Rule 3312.
- If more than one NSAID or more than one corticosteroid is detected in the Post-Race Sample or Post-Work Sample of a CH, but each are below the applicable Screening Limits (and so individually would not constitute a presence violation), they will together constitute a single presence violation under Rule 3312.
- If more than one NSAID or more than one corticosteroid is detected in the Post-Race Sample or Post-Work Sample of a CH, each NSAID and each corticosteroid above the applicable Screening Limit constitutes a separate presence violation of Rule 3312.

\*Please be advised that the responsibilities and requirements set forth above are contained in the Anti-Doping and Medication Control (ADMC) Program regulations submitted by the Horseracing Integrity and Safety Authority to the Federal Trade Commission (FTC). These regulations were approved by the FTC on March 27, 2023. The information enclosed herein is not exhaustive, and more information can be found by consulting the approved regulations, which were posted to the Federal Register on January 26, 2023.

