

2016/17 Watch and Wager at Cal-Expo Policies and Procedures

Preamble

The Rules and Regulations of the California Horse Racing Board (CHRB) set forth rules for all breeds of horses racing within this jurisdiction. The procedures and guidelines found on the following pages are directed solely toward Harness Racing and are not to be construed otherwise. Harness Racing in the State of California is governed by three sets of rules:

1. California Horse Racing Laws, which are under the Business and Professions Code Category, sections 19400 through 19699.
2. Rules and Regulations of the California Horse Racing Board (Title 4, Division 4 [CHRB], of the California Code of Regulations).
3. United States Trotting Association (USTA). Pursuant to CHRB Rule 1402 (Controlling Authority), the rules of the United States Trotting Association will be applied only when the above two California sets of laws/rules do not cover a situation and these Policies and Procedures do not cover a situation.

1. Licensing/Registration

- 1.1. The "Contractual Agreement" between Watch and Wager, LLC (W&W), the Licensed Racing Association, and California Harness Horsemen's Association (CHHA), the representing body of the Horsemen, shall be enforced when not in conflict with CHRB Rules.

2. Trainers

- 2.1. The Trainer of record is responsible for the care and condition of all horses within their care. Trainers represent the Owners relative to the horses in their care, to include: entries, declarations, and the naming of drivers. Trainers are responsible, for: the attendance of their horses in the Receiving Barn, and Paddock and shall supervise unless excused.
 - 2.1.1. Stalls and/or racing privileges may be granted to licensed trainers upon completion and acceptance of stall application.
- 2.2. Trainers are responsible for the licensing of all Owners, and employees. It is recommended that you maintain a written record of each license held by your Owners and their expiration dates. Inspect each and every license held by your employees to insure it is current.
- 2.3. Trainers are responsible for the area assigned to them, to include all tack and feed rooms. You are advised to inspect yours periodically for compliance with the rules.
- 2.4. Trainers, be advised that you will be held responsible for the conduct of your employees, particularly while on the main track. Do not send incompetent personnel out to jog, train, or warm up horses. Proper safety lies in your hands.
- 2.5. All personnel must wear an approved fastened helmet when going to, while on and when returning from the Main and Back Tracks. Individuals not properly equipped

will be turned away from the track by outrider or security. The Trainer may be subject to penalty.

- 2.6. All horses shall race in the name of the Trainer established at the time of entry.
- 2.7. The leading or ponying of horses is permitted during the hours posted by the association. All rules regarding this activity will be observed and enforced.
- 2.8. Trainers are reminded that the performance of your horse rests in your hands. Do not enter, race, or qualify if your horse is not ready to exert the best performance possible and consistent with or better than the previous performance. Any Trainer racing horses that are sick, lame, infirm or otherwise incapable to race consistently will be subject to penalty. Trainers instructing Drivers to race other than to achieve optimum performance will be penalized to the fullest extent of the rules.

3. Equipment

- 3.1. All equipment is subject to the approval of the Stewards and the Paddock Judge. All pieces of equipment shall be standard and/or customary to harness racing.
- 3.2. No equipment may be used that is not readily available for purchase through recognized sources.
- 3.3. Mud fenders for race bikes are the responsibility of the Stable. Their use is mandatory upon the order of the Stewards.
- 3.4. The Stewards must approve Hopper changes, either on or off. However, such horses making the change, either Trotters or Pacers, must have one acceptable Qualifying Race line in Qualifying time or better after each change request, Sires Stakes excepted.
- 3.5. The Horse Identifier will maintain an equipment card for each horse racing. Advise your employees to cooperate fully with this procedure. This card will depict all equipment. Type of boots, bits, bridles, head poles, harnesses, race bikes, hopple lengths, will be kept. This information will be provided to Trainers when a successful claim is made.

4. Drivers

- 4.1. All Drivers are required to present current and valid licenses to the Clerk of the Course at the commencement of each meeting. This information will include your USTA license and your registered driving colors, if any.
- 4.2. All Drivers are required to attend advertised meetings. Ignorance of the rules and regulations will not be an excuse.
- 4.3. The following classifications of Drivers' licenses will be observed by the Stewards: (A) Full License-unrestricted; (P) Provisional License; (Q/F) Qualifying/Fair License.
- 4.4. Drivers are advised to bring to the attention of the Racing Department and the Stewards when they will not be able to drive. This notice shall be made as far in advance of scratch time as possible. Failure to assist Officials in furtherance of the goal of a change-free program may be penalized.

- 4.5. All Drivers shall be properly attired for driving in a race including Qualifying races. Such attire shall consist of his own registered colors, if any with boots and white pants. No homemade or tattered colors are permitted.
- 4.6. Full Colors must be worn one hour before first post whenever on the track.
- 4.7. No smoking (as defined by California law) will be permitted on the track or in the paddock beginning one hour before first post or at anytime while in colors in the public view.
5. Qualifying Drivers. USTA Rules (Rule 17) shall be observed regarding Qualifying licensing. In addition, the follow will be enforced
 - 5.1. All Qualifying Drivers must go a WORKOUT MILE observed by the Stewards and Drivers Track Committee prior to his/her first Qualifying drive.
 - 5.2. All Qualifying Drivers shall be in full driving colors when competing and are expected to observe all racing rules.
 - 5.3. It will be the responsibility of the Qualifying Driver to perform with a variety of horses, one of which must be a trotter. Failure to gain experience with additional horses will result in no grade being awarded.
 - 5.4. It will be required that the Qualifying Driver show performances in various common situations, such as: racing on the lead and rating the pace, racing from behind, in addition to showing proper use of the whip and the ability to handle breaking situations.
6. The Race
 - 6.1. Starting Procedures. The Starter shall call the horses after not more than twelve minutes have elapsed from the formation of the post parade. Upon the Starter's Orders, all Drivers will turn together and proceed into position. Drivers shall not turn until called. The rules of both the CHRB and the USTA are clear in the area of infractions during the starting procedure and are enumerated in their respective locations.
 - 6.2. Drivers must report in to the Paddock Judge or W&W designee and take the Breathalyzer Test, if required by the stewards, at least 30 minutes prior to the driver's first schedule drive, or whenever directed to by the stewards. Any driver's that records any alcohol level greater than zero, after a confirmation test is taken, will be reported as such to the stewards and shall not drive on that program.
 - 6.3. Chinstraps must be fastened at all times.
 - 6.4. From the time the horses leave the Paddock they are in the control of the Starter. All horses must parade and score down. Post Parades will be orderly and in numerical order. The Outrider will assist in all activity. All horses will score down in orderly fashion and follow the orders of the Starter and Outrider.
 - 6.5. Any broken equipment claims must be reported to the starter immediately after the end of the race. In the event a horse cannot finish, a driver must when safe, take to the outside fence, dismount and take proper control. Horses that leave the course during the race will be penalized.
 - 6.6. Pylon rules (for horses racing without interference):

- 6.6.1. Going inside two (2) pylons and lapped-on at the finish: The offending horse will be disqualified and placed behind any lapped-on horses at the wire.
- 6.6.2. Going inside of three (3) or more pylons: The offending horse will be disqualified and placed last.
- 6.6.3. If an unfair advantage is gained by going inside, over or in-between one or more pylons in order to pass another competitor: The offending horse will be disqualified.
- 6.6.4. Off stride and inside pylons will be judged under the breaking rules
- 6.6.5. The steward's discretion applies to all placements.
- 6.6.6. Horses drawn into the second tier on the overnight sheet shall remain in such tier no matter what pre-program scratches may occur.
- 6.6.7. For the purposes of Handicapped races where advance use of the second tier is known, the order of such posts will be as follows where there is one horse in the second tier: 1, 2, 3, 4, 10, (second tier), 5, 6, 7, 8, 9.
- 6.7. Should an accident occur, a Driver is unseated, or other injuries are sustained, he/she must go to First Aid. Paramedic or Doctors Orders will prevail.
- 6.8. Whipping – CHRB rule 1734 will apply beginning on January 1, 2017. Until that time, the following (which is identical to 1734) will be enforced by the Stewards.
 - 6.8.1. (a) No driver shall use unreasonable force in whipping a horse, nor whip any horse causing welts or breaks in the skin, nor whip any horse about the head, nor whip any horse after the finish line has been crossed except when necessary to control the horse.
 - 6.8.2. (b) Whipping shall be restricted to elbow and wrist action only, and the following actions regarding the use of the whip are prohibited:
 - 6.8.2.1. (1) Raising the elbow above the driver's shoulder height.
 - 6.8.2.2. (2) Allowing the hand holding the whip to reach behind the driver during the use of the whip.
 - 6.8.2.3. (3) Use of the whip other than on the area inside and above the level of the shafts of the sulky and between the sulky shafts.
 - 6.8.2.4. (4) Whipping under the arch of the shafts of the sulky.
 - 6.8.2.5. (5) Use of the whip as a goading or poking device between the legs of the horse.
 - 6.8.2.6. (6) Use of the whip when the horse does not appear to be advancing through the field of horses or is no longer in contention for purse money.
 - 6.8.3. (c) For the purpose of whipping, all drivers must keep a line in each hand beginning when the horse is behind the starting gate and until one-eighth of a mile prior to the finish line, and may not whip while holding two lines

in one hand until then. The lines must remain reasonably taut during the entire race.

- 6.8.4. (d) Drivers may not use the whip more than three times in succession without giving the horse a chance to respond.

7. Claiming

- 7.1. All Open Claiming rules will be enforced. Proper filing, to include all required documents and fees, will be mandatory for processing.
- 7.2. All Claims must be deposited not later than fifteen (15) minutes prior to the scheduled post time for the event as published by Watch and Wager management.
- 7.3. All Claims must be deposited with the Paymaster of Purses on the forms provided. This form must be correctly filled out in every area.
- 7.4. The Successful Claimant will be allowed access to horses' equipment cards.
- 7.5. The Paymaster will not disburse funds from Claims until the former Owners properly endorse the Registration. This shall be completed not more than seventy-two (72) hours from the date of the Claim. Non-racing days excluded.
- 7.6. Errors in Claiming Price will be resolved by the stewards.

8. Racing Department

- 8.1. The Director of Racing and/or Racing Secretary shall set the "Qualifying Time Standards" for the season. These standards, which may allow for gait, maiden status, sex and age, must be posted in the Race Office and on all Qualifying Sheets. A two (2) second allowance for trotters, over pacers, shall be allowed.
- 8.2. The Director of Racing and/or Racing Secretary shall set the "Days Off Standard" during the race meeting. Horses that have not started with an acceptable performance line (a "clean line") within the standard must qualify. The standard must be posted in the Race Office and on all Qualifying Sheets. The "default" standard will be thirty days, but can be lengthened by the Director of Racing and/or Racing Secretary. Changes in qualifying standards shall be published a minimum of 25 days prior to taking effect.
- 8.3. Stakes Schedules, Purse Schedules, Condition Sheets, Draw Sheets, Qualifying Sheets, and Overnight Sheets, shall be posted in a timely and error free condition.
- 8.4. The Steward's List shall be updated after each racing program and posted prior to the next entries closing.
- 8.5. The Veterinarian's List shall be maintained in the Racing Department and updated and posted prior to the next entries closing
- 8.6. The Invitational and Preferred Horses List shall be maintained in the Racing Department and updated and posted prior to the next entries closing.
- 8.7. All Entries shall be made on the approved form or executed on-line using the USTA's on-line entry system. The form shall provide space for: name of horse, name of trainer, name of driver, the event number, and a space clearly marked for an alternate event. A space for the signature of the Trainer and/or Owner shall also be provided. Racing Office personnel should urge Trainers using "catch drivers" list at

least three (3) Drivers. The Racing Office shall observe preferences as noted by Drivers.

- 8.8. Race office staff members are available to accept entries a minimum of one hour prior to the closing of the entry box..
 - 8.9. The entry box shall close promptly as published on the condition sheet. Any and all entries received after such time shall be considered late. Late entries shall be used only in such cases that an event(s) has not filled. Contents of the entry box shall not be made public until such time said box has officially been closed.
 - 8.10. All Races that are divided into more than one division must be divided by lot unless otherwise specified on the condition sheet.
 - 8.11. The Draw for post positions will be conducted only after an audible announcement is made to the horseman. A minimum of two such announcements must be made.
 - 8.12. All Protests against the Draw, (for example, eligibility, manner in which the draw was conducted, race or stake conditions, or other valid reason), shall be made at the draw. The Stewards may, upon validation of the protest, cause a new draw for positions. Protests subsequently made shall be in accordance with CHRB rules.
 - 8.13. Scratched Horses: All Scratch Cards must be filled out by the Trainer and signed unless Stewards accepts a telephone scratch.
 - 8.14. Driver Changes.
 - 8.14.1. All driver changes must be given to the stewards by the designated scratch time associated with each draw. The race office will take all reasonable measures to avoid "Scratch at the Draw" situations.
 - 8.14.2. After the program is published, changes only be permitted for similarly licensed drivers as measured by their USTA license level (namely A for A and P for P. Exceptions can be granted by the Stewards if special circumstances warrant.
 - 8.15. Same race entries with common trainer. For overnight races only, no trainer may have more than two horses in the same race.
 - 8.16. Same race entries with any owners in common. For overnight races only, no owner or partial owner may have more than two horses in the same race.
9. Scratches and subsequent required actions
- 9.1. If a horse is scratched two starts in a row other than acceptable Steward's scratch, the horse must re-qualify
 - 9.2. Stewards Scratch.
 - 9.2.1. Trainers may be granted a steward's scratch if requested when track is listed in any condition other than "fast".
 - 9.2.2. Horses that are allowed to be scratched due to a race office error will be considered a steward's scratch. No penalty is accrued.

- 9.2.3. Other Steward Scratches include, but are not limited to, improperly licensed owner or trainer, improperly insured trainer, detention barn lateness. Penalties may apply and are circumstance dependent.
- 9.3. Veterinarian Scratches.
 - 9.3.1. Scratched "Sick". Trainer must follow steward's protocol for scratching a horse "sick" from the race program. Horses cannot be removed from the veterinarian list for five days after scheduled date of the race.
 - 9.3.2. Scratched "Injured". Trainer must follow steward's protocol for scratching a horse "injured" from the race program. Horses cannot be removed from the veterinarian list for three days after date of entry. Trainer may be required to produce documentation from a CHRB licensed vet describing the extent of the injury and the action taken by the vet as a result of the injury. Failure to produce said documentation shall result in a judges scratch for "failure to honor declaration".
 - 9.3.3. Scratched "Lame". Trainer must follow race steward's protocol for scratching a horse "lame" from the race program. Before such horse can be removed from the veterinarian list, horse must have blood drawn and "pass" relevant blood tests and either successfully qualify or have an official workout before the state veterinarian, which satisfies such vet that the horse is sound.
- 10. Stewards List
 - 10.1. Other than the "Days" rule referenced in Section 8.2, horses will be placed on the Stewards List and will required to qualify in any of the following situations:
 - 10.1.1. Makes two (2) consecutive breaks on a fast track
 - 10.1.2. Makes a break on a fast track coming off a Qualifying race
 - 10.1.3. Does not go in Qualifying time or is charted as distanced in two consecutive races on a fast track
 - 10.1.4. Does not go in Qualifying time or is charted as distanced on a fast track coming off of a Qualifying race
 - 10.1.5. Shows in the last two (2) starts a combination of a break on a fast track and/or not going in Qualifying time
 - 10.1.6. Pulls up in a race without a reason (such as broken equipment)
 - 10.1.7. Lines that include an interference break (ix) will be excluded from consideration with respect to this section.
 - 10.1.8. Lines that include a horse making a break and finishing first, second or third (officially) will be excluded from consideration with respect to this section.
 - 10.1.9. Lines that include a track condition other than fast are not considered for performance (time or breaks) with respect to this section. The next performance line(s) preceding the lines involving an off track will be taken into consideration.

- 10.1.9.1. Regardless of track condition, three consecutive “bad” lines will place a horse on the Stewards List.
 - 10.1.10. An official workout may be permitted for any of the following classes: Invitational, Open, Winners Over.
 - 10.2. Horses on the Stewards list that attempt to qualify will remain on the list if any of the following occur during the qualifying race.
 - 10.2.1. Horse fails to meet or exceed the qualifying time standard taking into account all allowances.
 - 10.2.2. Horse breaks, excluding interference breaks if the horse has gone in qualifying time.
 - 10.2.3. Horse goes inside of 1 or more pylons.
 - 10.2.4. Horse is unruly or uncontrollable
 - 10.2.5. Horse is unreasonably off the gate at the start of the race, in the opinion of the stewards and/or starter.
 - 10.2.6. Horse interferes with another horse
- 11. Stable Area
 - 11.1. Parking and storing of automobiles, trailers, and campers under barn roofs, between barns, between shed rows and in “No Parking Zones” is strictly prohibited at any time. Horse trailers must be stored in authorized lots only. Major repair or major maintenance of any vehicle, trailer, or camper within the licensed enclosure is strictly prohibited. All vehicles, trailers, and campers within the enclosure must have current and valid registration.
 - 11.2. Vehicle speed in the stable area is 10 mph.
 - 11.3. California Penal and Vehicle Codes will be enforced within the enclosure.
 - 11.4. No electrical equipment (such as stoves, heaters, hotplates, hot-water tanks, etc.) shall be kept or operated in the stable area, tack rooms, or under shed rows, etc. Electrical extensions cords shall be used on a temporary and immediate basis only. Use of extension cords is not permitted in the barn area in lieu of required permanent wiring. No electrical cords shall be affixed to any portion of the building by nails or other temporary devices.
 - 11.5. Outdoor barbeques are not to be utilized under the shed rows in the stable area.
 - 11.6. Only a licensed trainer can sign in an unlicensed visitor. All visitors must be signed in through Gate 12 only, and must have a valid identification card or drivers license issued by the Department of Motor Vehicles in their possession. All visitors must depart the enclosure no later than 12 midnight of the same day. Visitors must return any temporary pass issued upon departure. The trainer signing in the visitor is directly responsible for the actions of that visitor while within the enclosure.
 - 11.7. Minors must be accompanied by and under the direct supervision of a parent or guardian at all times while in the enclosure. The parent or guardian shall be physically and financially responsible for the conduct of said minor.

- 11.8. All portable pipe corrals must have adequate space around them to permit access by emergency vehicles and personnel.
- 11.9. Hot shoeing in or under the shed row is strictly prohibited. All horse-shoers must have an approved fire extinguisher readily available while shoeing. All areas utilized by horse-shoers shall be kept in a clean and orderly fashion at all times. Discarded trash and supplies must be removed from the shoeing area on a daily basis.
- 11.10. All shed rows must be kept in a clean and orderly fashion. Emergency personnel must keep supplies and equipment stored outside the tack room in a manner not to restrict access. Excess debris and trash must be removed on a daily basis. All stall bedding must be disposed of in the appropriate areas. All water hoses must be in good condition and equipped with a shut off nozzle. Water hoses must not be left open to run in the gutters unattended.