



9Chapter

9

ERASA

Endurance Ride Association of South Africa

Treatment of Horses and and Equine Antidoping and Medication Control

CHAPTER 9

TREATMENT OF HORSES AND EQUINE ANTI-DOPING AND MEDICATION CONTROL

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9.1 **GLOSSARY.** Words and phrases contained in this chapter shall have the meaning assigned to them as specified below, unless it is obvious from the context in which it is used that the word or phrase has another meaning. The meaning assigned to words and/or phrases that are included in the glossary of the ERASA constitution and/or any other chapter of the rule book also apply to this chapter, unless it is obvious from the context in which it is used that the word or phrase has another meaning. Depending upon word usage the singular may mean plural and masculine may mean feminine.

9.1.1 **Adverse analytical finding.** A report from a laboratory or other approved entity that, consistent with the ERASA Standard for Laboratories, identifies in a horse's sample the presence of one or more prohibited substances or its metabolites or markers (including elevated quantities of endogenous substances) or evidence of the use of a prohibited method.

9.1.2 **Anti-Doping Organisation:** An organization that is responsible for initiating, implementing or enforcing any part of the doping or medication control process, including, for example, the FEI, or ERASA.

- 9.1.3 Attempt. Purposely engaging in conduct that constitutes an act in execution of a course of conduct planned to culminate in the commission of an equine anti-doping and/or controlled medication rule violation. Provided, however, there shall be no rule violation based solely on an attempt to commit a violation if the attempt is renounced prior to it being discovered by a third party not involved in the attempt.
- 9.1.4 Banned method. Any method described as a banned method in the FEI equine prohibited substances list.
- 9.1.5 Banned substance. Any substance, or its metabolites or markers, described as a banned substance in the FEI equine prohibited substances list, including its metabolites and markers.
- 9.1.6 Controlled medication method. Any method described as a controlled medication method in the equine prohibited substances list.
- 9.1.7 Controlled medication substance. Any substance, or its metabolites or markers, described as controlled medication in the FEI equine prohibited substances list.
- 9.1.8 Controlled medication violation. A controlled medication violation is defined as the occurrence of one or more of the controlled medication rule violations set forth in Articles 9.10.2.1 to 9.10.2.4 below.
- 9.1.9 Doping. Doping is defined as the occurrence of one or more of the equine anti-doping rule violations set forth in Articles 9.9.2.1 to 9.9.2.4 below.
- 9.1.10 Doping control. All steps and processes in relation to the control of banned substances and banned methods, from test distribution planning through to the ultimate finding of and sanction imposed by the presiding officer, including all steps and processes in between, such as sample collection and handling, laboratory analysis and results management.
- 9.1.11 Endurance rides held under the auspices of ERASA. All endurance rides presented by ERASA and/or one of its unions and/or one of its clubs, whether presented under ERASA rules or FEI rules or any other set of rules as approved by the Council of ERASA.
- 9.1.12 Equine prohibited substances list. The list identifying the banned substances/controlled medication substances and banned methods/controlled medication methods as published from time to time under the direction of the Secretary General of the FEI.
- 9.1.13 Equine Therapeutic Use Exemption (ETUE). The authorization to compete when a controlled medication substance or a controlled medication method has been administered or used for legitimate therapeutic purposes in a horse, as provided for in the ERASA rules through the use of an applicable ETUE as therein specified. For the avoidance of doubt, ETUE's are not available for banned substances or banned methods.
- 9.1.14 ERASA Council Veterinarian or his delegate. The ERASA Council Veterinarian, appointed in terms of the ERASA Constitution, or an officially appointed delegate (a veterinarian appointed by the Endurance Veterinary Interest Group to deal with aspects

related to anti-doping and medication control, and whose appointed was ratified by Council).

- 9.1.15 ERASA Standard for Laboratories. A standard setting out the criteria for laboratories to apply in respect of analyses, custodial procedures and reports thereon, adopted by the ERASA Council from time to time in support of the rules. Compliance with this standard (as opposed to another alternative standard, practice or procedure) in force at the time of sample analysis shall be sufficient to conclude that the procedures addressed by this standard were performed properly.
- 9.1.16 FEI. The Fédération Equestre Internationale acting through its applicable representative as determined in its Statutes, General Regulations, other regulations or rules, or by its Secretary General from time to time.
- 9.1.17 Marker. A compound, group of compounds or biological parameter(s) that indicates the use of a prohibited substance or a prohibited method.
- 9.1.18 Medication Control. All steps and processes in relation to the control of controlled medication substances and controlled medication methods, from test distribution planning through to ultimate finding of and sanction imposed by the presiding officer, including all steps and processes in between, such as sample collection and handling, laboratory analysis, equine therapeutic use exemption and results management.
- 9.1.19 Metabolite. Any substance produced by a biotransformation process.
- 9.1.20 National Federation. The one national governing body which is a member of or is recognized by the FEI as the entity governing FEI sport in that country.
- 9.1.21 National Association. The national governing body in a country that is in control of all matters pertaining to endurance riding in that country.
- 9.1.22 Person. A natural person or an organization or other entity.
- 9.1.23 Person responsible. Please refer to the glossary published in the ERASA constitution.
- 9.1.24 Prohibited Method. An umbrella term used for any method described as either a banned method or a controlled medication method in the FEI equine prohibited substances list.
- 9.1.25 Prohibited Substance. An umbrella term used for any substance, or its metabolites or markers, described as either a banned substance or a controlled medication substance in the FEI equine prohibited substances list.
- 9.1.26 Publicly Disclose or Publicly Report. To disseminate or distribute information to the general public or persons beyond those persons entitled to earlier notification.
- 9.1.27 Receipt. When a Person receives something of relevance to these rules. For the avoidance of doubt, in the event there is no specific confirmation of receipt, receipt shall be assumed to have occurred after seven business days from dispatch.

- 9.1.28 Sample. Any biological or other material collected for the purposes of doping or medication control.
- 9.1.29 Tampering. Altering for an improper purpose or in an improper way; bringing improper influence to bear; interfering improperly; obstructing, misleading or engaging in any fraudulent conduct to alter results or prevent normal procedures from occurring; or providing fraudulent information to ERASA or any other anti-doping organization.
- 9.1.30 Testing or Test. The parts of the doping and/or medication control process involving test distribution planning, sample collection, sample handling and sample transport to the laboratory.
- 9.1.31 Time Limits. The time limits fixed under these rules shall begin from the day after that on which notification by ERASA is received. Official holidays and nonworking days are included in the calculation of time limits, except if otherwise stated. The time limits fixed under these rules are respected if the communications by the parties are sent before midnight on the last day on which such time limits expire. If the last day of the time limit is an official holiday or a non-business day, the time limit shall expire at the end of the first subsequent business day.
- 9.1.32 Use. The utilization, application, ingestion, injection or consumption by any means whatsoever of any banned or controlled medication substance or banned or controlled medication method.

9.2 INTRODUCTION

- 9.2.1 The rules regarding the treatment of horses, which include the equine anti-doping and controlled medication rules, provide a framework towards clean sport. The rules, particularly as they apply to banned substances have intentionally been modeled after the 2009 World Anti-Doping Agency's Code for human athletes. Conversely, the equine controlled medication rules have been developed with special consideration for the need to responsibly administer controlled medication to horses to ensure horse welfare and the highest levels of professionalism. The rules are based on the international rules regarding these matters to so establish a singular approach.
- 9.2.2 Any substance prohibited by the equine anti-doping and controlled medication rules below is referred to as a prohibited substance, as an umbrella term.
- 9.2.2.1 Substances which according to these rules are used for "doping" are referred to as banned substances. Doping is fundamentally contrary to the spirit of sport, and anti-doping programs seek to preserve what is intrinsically valuable about sport. This intrinsic value is often referred to as "the spirit of sport"; it is the essence of Olympism; it is how we play true. The spirit of sport is characterized by the following values:
- Ethics, fair play and honesty
 - Health
 - Excellence in performance
 - Character and education
 - Fun and joy
 - Teamwork
 - Dedication and commitment

- Respect for rules and laws
- Respect for self and other participants
- Courage
- Community and solidarity.

9.2.2.2 Substances/methods which according to the rules are used to treat ("medicate") horses are referred to as controlled medication substances. Controlled medication rules aim at striking an appropriate balance between medication-free competition and horse welfare in accordance with the ERASA Medication Code:

ERASA Medication Code. All treatment must be given in the best health and welfare interests of the horse. Therefore:

- Every treatment must be fully justifiable by the medical condition of the horse receiving the treatment.
- Horses that cannot compete as a result of injury or disease must be given appropriate veterinary treatment (either by the treating veterinarian officiating at a particular ride or the person responsible's regular veterinarian). The person responsible must obtain advice from the veterinarian prescribing the treatment regarding the administration and the required duration of treatment.
- No controlled medication substance shall be given to any horse during or close to an event unless the appropriate ERASA guidelines for medication authorization have been followed.

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9.2.3 Persons responsible are advised of the following:

9.2.3.1 Labels on veterinary preparations, proprietary medicinal products, tonics, herbal remedies and manufactured compound feeds do not always list the constituents in full. These products may therefore contain prohibited substances.

9.2.3.2 Many substances can be absorbed through horses' skin (especially, but not only, when the skin is damaged or inflamed) and may be detected by an analytical laboratory.

9.2.3.3 Riders, owners, trainers, grooms and veterinarians are cautioned against the use of herbal medications, natural products and products of any kind when the ingredients and quantitative analysis are not known in detail. Many of these products may contain one or more prohibited substances. Claims that these products do not violate the ERASA rules or are undetectable by drug testing are made by the manufacturer at his sole responsibility, and are not verified or approved of by ERASA.

9.2.3.4 Stable management and feeding practices can have important consequences for testing of horses during competition. Occasionally, horses test positive for substances which, although they could have been administered, could also have been the result of stable or feed contamination. However, stable and/or feed contamination does not diminish the responsibility of the rider for the test result.

9.2.3.5 No one other than a veterinarian is allowed to bring any prohibited substances to the venue of an endurance ride.

9.2.4 Stable security

9.2.4.1 Arrangements to ensure stable security are not compulsory at ERASA endurance rides.

9.2.4.2 If stables are enclosed in a security area

9.2.4.2.1 All horses participating in the endurance ride should be accommodated in the security area; exceptions to be approved by both the chief veterinarian/ president of the veterinary commission and the ride master or president of the Ground Jury.

9.2.4.2.2 The following measures must be put in place to provide a completely restricted area:

- The entire area must be fenced in with a diamond mesh security fence of at least 1800mm high. The diamond mesh shall be securely fastened to so prevent any person from gaining entrance to the area. Only one gate will provide access to the area.
- A security guard is to be posted at the gate, and at least two more roaming security guards are to patrol the area. These guards are to be instructed to be on the lookout for suspicious behaviour related to the administration of prohibited substances.
- Entry and exit of all persons and horses shall be recorded during all hours of the day and night. A register is to be kept in this regard.
- People allowed into the area must be accredited by the ride committee. Only the following accredited people shall be allowed to enter the stable area (accredited persons should be easily identifiable by means of an identity card or bib):
 - Ride master or president of the Ground Jury
 - Ride officials
 - Members of the veterinary panel or veterinary commission
 - Treating veterinarians
 - Team veterinarians
 - Equine body therapists (physical therapists/physiotherapists)
 - Farriers
 - Persons responsible / Owners / Riders
 - Team managers / Chefs d'Equipe
 - Presidents of National Federations

9.2.4.3 Should there be no arrangements for stable security, or should the restricted area not comply with the above conditions, the person responsible remains responsible for the supervision of his/her horse at all times.

9.3 EQUINE THERAPEUTIC USE EXEMPTIONS / MEDICATION FORMS

9.3.1 When horses require treatment prior to or during an endurance ride presented under the jurisdiction of ERASA, the medication administered might:

9.3.1.1 Have consequences for subsequent testing of the horse for the presence of prohibited substances; or

- 9.3.1.2 Give the horse an unfair advantage by masking pain or enhancing the performance of the horse.
- 9.3.2 For this reason, ERASA has put in place a system similar to that of the FEI, and comparable to the World Anti-Doping Agency (WADA) Therapeutic Use Exemptions (TUE's) that are used in human sports.
- 9.3.3 To authorize treatment of a horse before and/or during an endurance ride and to permit ongoing participation in the ride, an Equine Therapeutic Use Exemption (ETUE) or medication form must be used. ETUE's may also be submitted for horses treated close to an endurance ride and can be retro-actively authorized by the chief veterinarian or the president of the veterinary commission officiating at the ride , upon arrival at the ride venue. More detail follows in Articles 9.4 to 9.7.
- 9.3.4 It is not possible to cover all eventualities in these rules, and therefore final judgment on whether a specific horse should be allowed to enter for a specific endurance ride rests on the opinion of the chief veterinarian or the president of the veterinary commission officiating at the specific ride. The welfare of the horse shall be considered paramount at all times. Therefore, the chief veterinarian or the president of the veterinary commission officiating at the ride must always:
- 9.3.4.1 Verify, prior to signing any of the medication forms, whether the horse is fit to compete; and
- 9.3.4.2 Consider whether the fairness of competition may be compromised by the medication previously administered or to be administered.
- 9.3.5 All ETUE's/medication forms are only valid for the specific endurance ride for which they were completed.

9.4 DECLARATION OF TREATMENT PRIOR TO ARRIVAL AT THE RIDE VENUE

- 9.4.1 In principle horses should not be treated with a prohibited substance before an endurance ride if the substance or its metabolites are likely to be detectable once the horse enters for the ride. Information on withdrawal times for a number of substances can be obtained from the FEI website (www.fei.org), and products used should preferably be selected from those listed on the FEI list of detection times (as the person responsible will know when the substance can no longer be detected in a sample taken from a horse).
- 9.4.2 If a horse must be treated with a prohibited substance during a period of fourteen (14) days prior to an endurance ride, the person responsible has two options:
- 9.4.2.1 He/she can use ERASA ETUE 4 (Opinion on treatment administered prior to a ride meet, refer Appendix D) and submit this to the ERASA council veterinarian or his delegate for an opinion prior to departing for the ride (see Article 9.4.3), or
- 9.4.2.2 He/she can use ERASA ETUE 1 (Authorization of emergency treatment, refer Appendix B) and submit this to the chief veterinarian or the president of the veterinary commission officiating at the ride on arrival at the ride venue (see Article 9.4.4).
- 9.4.3 Before departure to the ride venue:

- 9.4.3.1 The person responsible must request the veterinarian who treated the horse to complete ERASA ETUE 4.
- 9.4.3.2 The completed ERASA ETUE 4 is submitted to the ERASA council veterinarian or his delegate (by fax or e-mail).
- 9.4.3.3 The ERASA council veterinarian or his delegate shall study ERASA ETUE 4 and consider the lag time between treatment and the endurance ride and any possible unfair advantage that the horse may have as a result of this treatment. The ERASA Council veterinarian or his delegate is considering the case purely on the documentation provided to him and, should he authorize the horse to enter, this authorization is conditional. The horse is still to be examined after arrival at the ride venue, and the veterinary panel or veterinary commission can still find the horse unfit to participate on other grounds than the treatment that was administered.
- 9.4.3.4 After studying the information, the ERASA council veterinarian or his delegate completes the relevant section of ERASA ETUE 4 and returns the form to the person responsible (by fax or e-mail), and also sends a copy of the form to the ride organizers or the chief veterinarian or the president of the veterinary commission who will be officiating at the ride.
- 9.4.3.5 The person responsible shall consult the chief veterinarian/president of the veterinary commission as soon as possible after arrival at the ride venue. The person responsible shall hand his copy of ERASA ETUE 4 to the chief veterinarian/president of the veterinary commission.
- 9.4.3.6 The chief veterinarian/president of the veterinary commission will now examine the horse (this examination is to be carried out at the time of the first veterinary inspection or pre-ride inspection at the ride), and will authorize ERASA ETUE 4 (and allow the horse to participate in the ride) if he/she is satisfied that the.
- 9.4.3.6.1. Condition under treatment will not worsen if the horse is allowed to compete; and
- 9.4.3.6.2 Horse is fit to compete.
- 9.4.3.7 In all such cases ERASA ETUE 4 has to be countersigned by the ride master or president of the Ground Jury officiating at the ride.
- 9.4.3.8 The chief veterinarian or the president of the veterinary commission officiating at the ride must:
- Append a copy to the veterinary report that is submitted to the ERASA office after the ride. The ERASA office must forward this copy to the ERASA council veterinarian or his delegate.
 - Retain the original for a period of twenty-four months and must be made available when so requested by the ERASA General Manager.

9.4.4 At the ride venue

9.4.4.1 The person responsible should request the veterinarian who treated the horse to complete ERASA ETUE 1 before departing to the ride venue. If this was not possible, the person responsible must complete the top part of ERASA ETUE 1 (the part that is usually completed by the treating veterinarian) on arrival at the ride venue.

9.4.4.2 The person responsible shall consult the chief veterinarian/president of the veterinary commission as soon as possible after arrival at the ride venue. The person responsible shall hand ERASA ETUE 1 to the chief veterinarian/president of the veterinary commission.

9.4.4.3 The chief veterinarian/president of the veterinary commission will now examine the horse (this examination is to be carried out at the time of the first veterinary inspection or pre-ride inspection at the ride, and will authorize ERASA ETUE 1 (and allow the horse to participate in the ride) if he/she is satisfied that the:

9.4.4.3.1 Horse will not have an unfair advantage as a result of the treatment: and

9.4.4.3.2 Condition under treatment will not worsen if the horse is allowed to compete: and

9.4.4.3.3 Horse is fit to compete.

9.4.4.4 In all such cases ERASA ETUE 1 has to be countersigned by the ride master or president of the Ground Jury officiating at the ride.

9.4.4.5 The chief veterinarian or the president of the veterinary commission officiating at the ride must:

- Append a copy to the veterinary report that is submitted to the ERASA office after the ride. The ERASA office must forward this copy to the ERASA council veterinarian or his delegate.
- Retain the original for a period of twenty-four months, and must be made available when so requested by the ERASA General Manager

9.5 TREATMENT WITH A SUBSTANCE ON THE FEI PROHIBITED SUBSTANCE LIST

9.5.1 When treatment with a prohibited substance is required at a ride meet, the treating veterinarian must consult with the chief veterinarian or the president of the veterinary commission officiating at the ride, prior to treatment, on:

9.5.1.1 The condition of the horse (with specific reference to the reason why treatment is required)

9.5.1.2 The horse's fitness to compete (with or without treatment).

9.5.1.3 The preferred treatment.

9.5.2 The chief veterinarian/president of the veterinary commission should also examine the horse (if at all possible) and consider whether it is still fit to compete, and whether it may have a possible unfair advantage as a result of the proposed treatment. The decision as to whether the condition

is minor and whether the medication suggested or requested will unfairly affect the horse's performance will be considered on a case-by-case basis. The welfare of the horse must have absolute priority.

- 9.5.3 If the chief veterinarian/president of the veterinary commission is in agreement that the proposed treatment is required, ERASA ETUE 1 must be completed, and countersigned by the ride master or president of the Ground Jury officiating at the ride. The decision whether the horse is allowed to continue or not must be clearly indicated on the ETUE (this decision is made by the chief veterinarian/president of the veterinary commission, and his decision is final). The chief veterinarian or the president of the veterinary commission officiating at the ride must:
- Append a copy to the veterinary report that is submitted to the ERASA office after the ride. The ERASA office must forward this copy to the ERASA council veterinarian or his delegate.
 - Retain the original for a period of twenty-four months, and must be made available when so requested by the ERASA General Manager
- 9.5.4 Should treatment be indicated/required after the horse was retired/withdrawn/eliminated/disqualified from the endurance ride, the treating veterinarian can continue with the preferred treatment without consulting the chief veterinarian/president of the veterinary commission. ERASA ETUE 1 must still be completed by the treating veterinarian, indicating that treatment was administered after the horse was retired/withdrawn/eliminated/disqualified, and the treating veterinarian must hand the ETUE to the chief veterinarian/president of the veterinary commission before departing from the venue. In this case, countersigning by the ride master or president of the Ground Jury is not required. The chief veterinarian/president of the veterinary commission must:
- 9.5.4.1 Append a copy to his report that is submitted to the ERASA office after the ride. The ERASA office must forward this copy to the ERASA council veterinarian or his delegate.
- 9.5.4.2 Retain the original for a period of twenty-four months, and make this available when so requested by the ERASA General Manager.
- 9.5.5 Treatment found to be undertaken without the appropriate ETUE will be considered inappropriate and contrary to the objectives of clean sport, and competitors will be subject to disciplinary action by ERASA.
- 9.5.6 The use of a prohibited substance may only be authorized for treatment during an endurance ride in exceptional circumstances. For example, this might include the use of a local anaesthetic to suture a small laceration. Intra-articular injections and/or the use of non-steroidal anti-inflammatory drugs (NSAIDs) and repeated treatment for a specific condition may not be authorized. Should such medications be required, the horse must first be withdrawn/retired/eliminated from the ride.
- 9.5.7 Once a horse has finished the ride, or once the rider has stopped the step ladder, and the horse has passed the veterinary inspection on completion of the last loop, the horse may immediately be treated should any treatment be required, without penalty or elimination.
- 9.5.8 Should a horse, in the opinion of a member of the veterinary panel or veterinary commission or the treating veterinarian, require immediate treatment (either life-saving or to prevent deterioration of an injury or condition), the person responsible may not refuse such treatment.

9.6 AUTHORISATION FOR THE USE OF MEDICATION NOT ON THE FEI PROHIBITED SUBSTANCES LIST

9.6.1 Oral (directly into the mouth, and not through the use of a stomach tube) or topical administration (applied to a body surface; only application to the skin or to the mucous membranes of the eye or ear is allowed) of the substances listed below is allowed at a ride meet. No prior authorization is required for these. Should the person responsible be uncertain as to whether a specific product can be used, the advice of the chief veterinarian or the president of the veterinary commission officiating at the ride should be sought prior to administration. These substances, also referred to as permitted medication, include the following (all products listed on the FEI prohibited substances list are automatically excluded):

9.6.1.1 Antibiotics (all except procaine penicillin)

9.6.1.2 Anti-protozoals.

9.6.1.3 Anthelmintics (all except levamisole or tetramisole).

9.6.1.4 Anti-ulcer medication (specific generic names include omeprazole, ranitidine, cimetidine and sucralfate).

9.6.1.5 Insect repellents

9.6.1.6 Vitamins, amino acids and electrolytes.

9.6.1.7 All topical wound ointments that do NOT contain a corticosteroid, local anaesthetic or irritant, or other substance on the prohibited list.

9.6.1.8 Preventative or restorative joint therapies (eg chondroitin or glucosamine).

9.6.1.9 Medication used for oestrus control in mares (on the recommendation of the veterinarian who usually attends to the horse).

9.6.2 The administration (at a ride meet) of the substances listed in article 9.6.1.1 to 9.6.1.9 by any route other than topical or oral (directly into the mouth), including but not limited to injection or administration by stomach tube, requires prior written authorization by the chief veterinarian or the president of the veterinary commission officiating at the ride, using ERASA Medication Form 3 (refer Appendix C). The chief veterinarian or the president of the veterinary commission officiating at the ride may give permission for the administration of permitted medication by another route than oral or topical before the start of the ride or on completion of the ride, but permission may never be granted for the administration by another route than oral or topical during the ride. For purposes of this article the ride will be deemed to begin when the horse is presented to the veterinary panel or veterinary commission for the first (pre-ride) inspection and to end with the final veterinary inspection after completion of the last loop. When permitted medication is to be administered by injection or through the use of a stomach tube:

9.6.2.1 The person responsible must take the horse to the treating veterinarian officiating at the ride.

9.6.2.2 ERASA medication form 3 is to be completed by the treating veterinarian and authorized by the chief veterinarian or the president of the veterinary commission officiating at the ride . Countersigning by the ride master or president of the Ground Jury is not required. The chief veterinarian/president of the veterinary commission must:

9.6.2.2.1 Append a copy to his report that is submitted to the ERASA office after the ride. The ERASA office must forward this copy to the ERASA council veterinarian or his delegate.

9.6.2.2.2 Retain the original for a period of twenty-four months, and make this available when so requested by the ERASA General Manager.

9.6.2.3 The medication must be administered by the treating veterinarian officiating at the ride meet.

9.6.3 Article 9.6.2 applies to all the medications listed in articles 9.6.1.1 to 9.6.1.9 (only for administration by any route other than oral or topical). Take note of the following:

9.6.3.1 The use of inhalation therapy via a mask is prohibited during a ride meet. This includes the use of a paper bag or similar item for the short-term treatment of synchronous diaphragmatic flutter (thumps).

9.6.3.2 Intra-articular, vaginal and rectal administration of any medication is not allowed during a ride meet. This includes the use of ice per rectum to bring down the horse's core temperature.

9.6.3.3 Procaine penicillin may not be administered during a ride meet.

9.6.3.4 Specific examples of restorative joint therapies that can be administered in this manner are Legend or Hyonate intravenously and Adequan or Pentosan polysulfate intramuscularly.

9.6.3.5 Authorization for administration of these substances by a route other than oral or topical is not a right and always requires the prior approval of the chief veterinarian or the president of the veterinary commission officiating at the ride .

9.6.3.6 Samples of the medication provided by the person responsible may be taken by the chief veterinarian or the president of the veterinary commission officiating at the ride to be tested for prohibited substances.

9.6.3.7 It is emphasized that the administration of permitted medication by any route other than orally (directly into the mouth) or topically (onto the skin or onto the mucous membranes of the eye and/or ear) during the period from the time that the horse is presented to the veterinary panel or veterinary commission for the first (pre-ride) inspection until after the final inspection on completion of the last loop of the ride is explicitly forbidden.

9.7 THRESHOLD SUBSTANCES

- 9.7.1 Horses may compete with the presence of certain substances in their tissues, body fluids or excreta for which threshold levels/ratios are listed below, provided that the concentration of the substances is not greater than the threshold level/ratio indicated. Thresholds only apply to:
- 9.7.1.1 Substances endogenous to the horse;
 - 9.7.1.2 Substances arising from plants traditionally grazed or harvested as equine feed; or
 - 9.7.1.3 Substances in equine feed arising from contamination during normal cultivation, processing of treatment, storage or transportation.
- 9.7.2 The following constitutes an exclusive list of substances for which a threshold has been established. For each substance, a concentration level beneath that indicated is not an equine anti-doping or controlled medication rule violation

Substance	Threshold level/ratio
Available carbon dioxide (CO ₂)	36 millimoles per litre in plasma
Boldenone	0.015 microgram free and conjugated boldenone per milliliter in urine from male horses (other than geldings)
Dimethyl sulphoxide	15 micrograms per ml in urine or 1 microgram per ml in plasma
Estradiol	Free and conjugated 5 α -estrane-3 β , 17 α -diol 0.045 micrograms per ml in urine male horses (other than geldings)
Hydrocortisone	1 microgram per ml in urine
Salicylic acid	625 micrograms per ml in urine or 5,4 micrograms per ml in plasma
Testosterone	0.02 micrograms free and conjugated testosterone per ml in urine from geldings OR 0.055 micrograms free and conjugated testosterone per ml in urine from fillies and mares (unless in foal)

9.8 ALTERNATIVE TREATMENT OF HORSES AT ERASA ENDURANCE RIDES

- 9.8.1 The use of alternative treatment for horses at an event is permitted provided it is carried out by suitably qualified personnel, except for:
- 9.8.1.1 Acupuncture or alternative treatments using prohibited substances or methods are not permitted.
 - 9.8.1.2 Shock wave therapy and cryo-therapy are not permitted during an endurance ride, and for a period of five days prior to the first veterinary inspection. Cooling with ice and water is permissible, on condition that the temperature is not reduced below 0°C. Cooling with machines that can cool below 0°C is not permitted.
- 9.8.2 The providers of alternative therapy (including but not limited to equine body workers, physiotherapists and chiropractors) must obtain prior written approval from the chief veterinarian or the president of the veterinary commission officiating at the ride. These providers shall:
- 9.8.2.1 Not perform any diagnostic or therapeutic procedures which usually are regarded as being in the domain of a veterinarian.

- 9.8.2.2 When horses are referred to them the treating veterinarian, render the service as requested and provide the referring veterinarian with feedback on their findings and procedures performed.
- 9.8.2.3 Refer horses with obvious symptoms of disease and/or injury to the treating veterinarian.
- 9.8.2.4 When required or indicated, contact the treating veterinarian to discuss the case at hand with him.
- 9.8.3 The use of pulsating electromagnetic field therapy (usually in the form of a blanket or patch placed on the horse's body) is permitted, whether applied by approved providers of alternative therapy, or the person responsible or an assistant.

9.9 EQUINE ANTI-DOPING RULE VIOLATIONS

- 9.9.1 Persons responsible shall acquaint themselves with, and it is irrefutably assumed that they will know:
 - 9.9.1.1 What constitutes an equine anti-doping rule violation, and
 - 9.9.1.2 The substances and methods which have been included as banned substances and/or banned methods on the Equine Prohibited Substances List.
- 9.9.2 Where banned substances or banned methods are involved, the following constitute equine anti-doping rule violations:
 - 9.9.2.1 The presence of a banned substance or its metabolites or markers in a horse's sample,
 - 9.9.2.1.1 It is the personal duty of each person responsible to ensure that no banned substance is used on his horse.
 - 9.9.2.1.2 Proof of a rule violation under Article 9.9.2.1 is established by either of the following:
 - 9.9.2.1.2.1 Presence of a banned substance or its metabolites or markers in the horse's A Sample where the person responsible waives analysis of the B Sample and the B Sample is not analyzed; or,
 - 9.9.2.1.2.2 Where the horse's B Sample is analyzed and the analysis of the horse's B Sample confirms the presence of the banned substance or its metabolites or markers found in the horse's A Sample.
 - 9.9.2.2 Use or attempted use of a banned substance or a banned method
 - 9.9.2.2.1 No one may use or attempt to use a banned substance in a horse.
 - 9.9.2.2.2 The success or failure of the use or attempted use of a banned substance or a banned method is not material. It is sufficient that the banned

substance or banned method was used or attempted to be used for a rule violation to be committed.

9.9.2.3 Refusing or failing to submit to sample collection after notification as authorized in these rules, or otherwise evading sample collection, or refusal to sign the ERASA specimen report sheet

9.9.2.4 Tampering, or attempted tampering with any part of doping control.

9.10 EQUINE CONTROLLED MEDICATION RULE VIOLATIONS

9.10.1 Persons responsible shall acquaint themselves with, and it is irrefutably assumed that they will know:

9.10.1.1 What constitutes an equine controlled medication rule violation, and

9.10.1.2 The substances and methods which have been included as controlled medication substances and/or controlled medication methods on the Equine Prohibited Substances List.

9.10.2 Where controlled medication substances or controlled medication methods are involved, the following constitute equine controlled medication rule violations:

9.10.2.1 The presence of a controlled medication substance, or its metabolites or markers in a horse's sample.

9.10.2.1.1 It is the personal duty of each person responsible to ensure that no controlled medication substance is used on his horse.

9.10.2.1.2 Proof of a rule violation under Article 9.10.2.1 is established by either of the following:

9.10.2.1.2.1 Presence of a controlled medication substance or its metabolites or markers in the horse's A Sample where the person responsible waives analysis of the B Sample and the B Sample is not analysed; or,

9.10.2.1.2.2 Where the horse's B Sample is analysed and the analysis of the horse's B Sample confirms the presence of the controlled medication substance or its metabolites or markers found in the horse's A Sample.

9.10.2.1.3 The presence of any quantity of a controlled medication substance or its metabolites or markers in a horse's sample shall constitute an equine controlled medication rule violation, except when:

9.10.2.1.3.1 The level of the substance is below the quantitative threshold or permitted limit for substances for which such thresholds or limits are published in the Equine Prohibited Substances List; or

- 9.10.2.1.3.2 The controlled medication substance was administered after prior authorization at a ride meet and where the authorization is supported by the applicable ETUE / medication control form; or
 - 9.10.2.1.3.3 The controlled medication substance was administered prior to arrival at the ride venue, where authorization was obtained before departure / on arrival and where the authorization is supported by the applicable ETUE / medication control form.
- 9.10.2.2 Use or attempted use of a controlled medication substance or a controlled medication method.
- 9.10.2.2.1 No one may use or attempt to use a controlled medication substance on a horse during a ride meet without prior authorization (supported by the applicable ETUE / medication control form).
 - 9.10.2.2.2 The success or failure of the use or attempted use of a controlled medication substance or a controlled medication method is not material. It is sufficient that the controlled medication substance or a controlled medication method was used or attempted to be used for a rule violation to be committed.
- 9.10.2.3 Refusing or failing to submit to sample collection after notification or otherwise evading sample collection, or refusal to sign the ERASA specimen report sheet.
- 9.10.2.4 Tampering, or attempted tampering with any part of medication control.

9.11 THE EQUINE PROHIBITED SUBSTANCES LIST

- 9.11.1 The ERASA Equine Anti-doping and Controlled Medication Rules incorporate the Equine Prohibited Substances List which is published and revised by the FEI from time to time. ERASA will publish the current list in such a manner that it is available to its members and constituents. The availability of a link on the ERASA website to the FEI website where the list is published shall be deemed sufficient for this purpose.
- 9.11.2 The FEI may revise the Equine Prohibited Substances List from time to time by posting the new list on the FEI website, or via such other appropriate channel, and such new list shall go into effect at rides under the auspices of ERASA on the exact same date as the list goes into effect at events under the auspices of the FEI.
- 9.11.3 The FEI's categorization of a substance or method as a banned substance or banned method (in particular), or as a controlled medication substance or controlled medication method shall be final and binding on all parties and shall not be subject to challenge by a person responsible or any other person on any basis.

9.12 TESTING

- 9.12.1 All horses participating in an endurance ride held under the auspices of ERASA, whether such horses are registered with ERASA or not, shall be subject to testing at any time during the

ride meet. ERASA shall be exclusively responsible for testing at all endurance rides held under the auspices of ERASA and no other body may conduct testing at endurance rides held under the auspices of ERASA without ERASA's express written permission.

- 9.12.2 Testing of horses at endurance rides held under the auspices of ERASA is overseen by the chief veterinarian or the president of the veterinary commission officiating at the ride, and he/she is authorized to, on behalf of Council, appoint one or more veterinarians (hereinafter referred to as the testing veterinarian) to specifically perform the testing of horses at the ride. This appointment will be deemed to have been made by Council.
- 9.12.3 Council is also authorized to appoint any other anti-doping agency to perform testing at endurance rides held under the auspices of ERASA, to either assist the chief veterinarian or the president of the veterinary commission officiating at the ride or to perform the entire process of testing at a specific endurance ride.
- 9.12.4 Selection of horses for testing is at the sole discretion of the chief veterinarian or the president of the veterinary commission officiating at the ride. Horses can be selected for testing through one of the following methods (not all these methods have to be applied at each endurance ride):
- 9.12.4.1 Testing of top achievers (the top horse(s) in each category)
 - 9.12.4.2 Random testing (random selection of horses based on guidelines provided by the ERASA council veterinarian or his delegate)
 - 9.12.4.3 Target testing (horses may be selected for target testing based on the observations of members of the Veterinary Panel or Veterinary Commission or other officials of the ride, or based on information provided to a member of the Veterinary Panel or Veterinary Commission or an official of the ride).

9.13 COLLECTION OF SAMPLES

- 9.13.1 Informed Consent. Each person responsible shall, at all endurance rides held under the auspices of ERASA, sign the prescribed "Informed Consent" (which forms part of the prescribed Indemnity, Voluntary Acceptance of Risk, Consent to Testing for Prohibited Substances and Emergency Veterinary/Medical Treatment form, refer Chapter 2) on entering a horse for the ride.
- 9.13.1.1 A copy of this form for all horses that were tested at the ride must be made available to the ERASA council veterinarian or his delegate.
 - 9.13.1.2 The forms are to be kept by the ride organizers for a period of twenty-four (24) months from the date of the ride meet, and must be made available on request by the ERASA General Manager.
- 9.13.2 Samples are collected and analyzed to detect banned and/or controlled medication substances, as well as banned and/or controlled medication methods as set forth in the Equine Prohibited Substances List. The presence of a prohibited substance in a horse may be demonstrated in samples taken from its tissues, body fluids (mainly blood) or excreta (mainly urine). Blood samples will normally be collected from all horses selected for sampling.

- 9.13.3 The chief veterinarian or president of the veterinary commission officiating at the specific endurance ride may authorize the collection of other materials (such as hair samples, bandages, skin swabs, syringes, needles, saliva, samples of rehydration fluids or samples of any suspicious substance or substances that may reasonably be thought to be associated with the horse). Such samples must be collected in accordance with the instructions in force at the time or in the absence of such instructions in a manner determined by the chief veterinarian/president of the veterinary commission.
- 9.13.4 Horses may be tested at any time during a ride meet in which they participate. The time of collecting samples at a specific ride shall be at the discretion of the chief veterinarian or the president of the veterinary commission officiating at the ride. A horse may be sampled on more than one occasion during the same ride meet. For practical reasons, it is advisable that horses are sampled after they were presented for inspection at a check point or vet gate (including, but not limited to, the final inspection on completion of the ride).
- 9.13.5 The person responsible shall give his/her full cooperation to the testing veterinarian and/or any other official appointed to collect a sample from his/her horse or any other materials as described in article 9.13.3.

9.14 PROTOCOL FOR SAMPLING

- 9.14.1 Samples for the purposes of testing for banned and/or controlled medication sub-stances and/or banned and/or controlled medication methods shall be collected by a veterinarian. Support staff (appointed by the ride committee after consultation with the veterinarian) may assist the veterinarian with administrative aspects of testing. Should the appointed veterinarian have a clear conflict of interest, the testing must be undertaken by another member of the veterinary panel or veterinary commission.
- 9.14.2 At all rides held under the auspices of ERASA veterinarians shall use the official sampling kits assembled by the SA National Horse Racing Authority Laboratory. Precise instructions as to the correct use of the sampling kits and corresponding paperwork can be found in the testing manual which is supplied with the kits. These kits will be distributed by the ERASA council veterinarian or his delegate.
- 9.14.3 The person responsible for the horse to be sampled shall be notified of this by a member of the veterinary panel or veterinary commission or a nominated ride official.
- 9.14.4 The person responsible for the horse to be sampled shall be given the opportunity to either witness the entire sampling procedure in person, or alternatively appoint a representative to witness the entire sampling procedure on his behalf. His refusal to either be present and to appoint a representative will be deemed to be a voluntary waiver of his rights in this regard, and the ride master/president of the Ground Jury/senior ride official (refer 9.14.7) shall appoint another independent person to act as witness instead.
- 9.14.5 The person responsible or his/her representative is responsible for the supervision/ handling of the horse during sampling. An assistant/helper/groom may be used for this purpose.
- 9.14.6 From the moment of notification, a steward or authorized ride official must accompany the horse to the area where the testing veterinarian is collecting samples from horses, where the horse will

- be left under the supervision of the ride master/president of the Ground Jury/senior ride official (refer article 9.14.7) until the sample has been collected from the horse.
- 9.14.6.1 The ride committee must ensure that sufficient numbers of stewards are available to assist with testing procedures. The number will depend on the level of the ride, the number of entries and the number of horses to be sampled.
- 9.14.6.2 Where sampling takes place on completion of a loop and immediately after completion of the veterinary inspection, the horse shall be accompanied by a steward and taken to the testing veterinarian without any unnecessary delay.
- 9.14.6.3 Where testing is to take place at any other stage of the ride, the steward or official shall remain with the horse until such time as the testing veterinarian and the ride master/president of the Ground Jury/senior ride official arrive, or, if the testing veterinarian is available at the venue, accompany the horse to the testing veterinarian without unnecessary delay.
- 9.14.7 The ride master or president of the Ground Jury officiating at the ride shall witness the procedure, or alternatively appoint a senior ride official to act as his representative in witnessing the procedure.
- 9.14.8 The identity of the horse must be positively established from its passport, in the presence of the person responsible (or his/her representative, or another witness, refer 9.14.4) before the sample is collected. The testing veterinarian shall verify this by making entries in the passport on the following pages (entries can be made by support staff, but must be signed by the veterinarian):
- 9.14.8.1 The "Identification of the horse described in this passport" page. In the column "Purpose of Control" the words "medication control" are to be entered.
- 9.14.8.2 The "Medication Control" page, where the type of samples collected is clearly indicated.
- 9.14.9 The person responsible (or his/her representative, or another witness, refer 9.14.4) must witness that a correct record of sampling is entered in the horse's passport by the testing veterinarian.
- 9.14.10 The ERASA specimen report sheet is completed in full, and is signed by both the testing veterinarian, the person responsible (or his/her representative, or another witness, refer 9.14.4) and the ride master or president of the Ground Jury (or his/her representative) as the official witness.
- 9.14.11 In signing the ERASA specimen report sheet the person responsible (or his/her representative) accepts the validity of the material used for the sampling and indicates that he/she has no objection to the sampling procedure. Should he/she reject either of these, he/she must state the reason, in writing, for non-acceptance on the specimen report sheet. An additional page may be added to the report sheet for this purpose; if so, this page is to be countersigned by the testing veterinarian and the ride master or president of the Ground Jury (or his/her representative). In the case where the person responsible refuses to be present and did not appoint a representative, and where the ERASA specimen report sheet is signed instead by a witness as appointed by the senior ride official (refer article 9.14.4), this must be duly noted on the ERASA

specimen report sheet by the senior ride official appointed in terms of article 9.14.7, signed by him/her and countersigned by the testing veterinarian.

9.14.12 The refusal of the person responsible (or his/her representative) to sign the ERASA specimen report sheet shall be treated as a refusal to submit a horse for sampling, and will be dealt with accordingly.

9.14.13 The testing veterinarian must:

9.14.13.1 Submit copies of all the ERASA specimen report sheets (by e-mail or fax) to the ERASA council veterinarian or his delegate.

9.14.13.2 Retain the original documents for a period of twenty-four months, and make these available to the ERASA General Manager on request.

9.14.14 The testing veterinarian also completes the National Horse Racing Authority analysis request form (detailing the sample numbers, seal numbers and bag numbers) which is submitted with the samples to the National Horse Racing Authority Laboratory.

9.15 ANALYSIS OF SAMPLES

9.15.1 Samples collected under these rules and arising from ERASA testing are the property of ERASA.

9.15.2 The samples shall be analyzed in accordance with the following principles:

9.15.2.1 Samples collected at endurance ride meets held under the jurisdiction of ERASA shall be analyzed only at laboratories that have ISO 17025 accreditation and are compliant with and subject to the ERASA Standard for Laboratories (see Appendix A).

9.15.2.1.1 ERASA has appointed the SA National Horseracing Authority Laboratory (SA NHA Lab) as the laboratory where all A samples shall be analyzed.

9.15.2.1.1.1 The ERASA council veterinarian is mandated to annually sign a contract with this Laboratory on behalf of ERASA and all its members.

9.15.2.1.1.2 All A samples shall be analyzed and results reported in conformity with the signed contract, the ERASA Standard for Laboratories (see Appendix A) and the Standard Operating Procedures of the SA NHA Lab.

9.15.2.1.1.3 If the samples that were collected are full blood, the Reference (B) samples require centrifugation before they can be frozen and stored. This will be done at and in conformity with the Standard Operating Procedures of the SA NHA Lab.

9.15.2.1.1.4 If the result of the analysis of Sample A is negative, Sample B shall be destroyed by the laboratory.

9.15.2.1.2 The "B" sample can be analyzed either at the SA NHA Lab or at one of three ERASA approved racing laboratories (United Kingdom, France or

Hong Kong) only. The specific laboratory (from this list) where the “B” sample is to be analyzed is to be selected by the person responsible. If the person responsible elects to have the “B” sample analyzed at a foreign laboratory, the sample will be packaged by the SA NHA Lab, and will be sent directly by the SA NHA Lab to this alternative laboratory. The costs related to packaging, transporting/couriering and analyzing the “B” sample (whether at the SA NHA Lab or a foreign laboratory) are for the person responsible, who has to deposit an amount to cover these expenses into the ERASA bank account before testing or consignment of the “B” sample will commence.

- 9.15.2.2 All results will be confidentially communicated by the laboratory to the ERASA Council Veterinarian or his delegate only.

9.16 RESULTS MANAGEMENT

- 9.16.1 Upon receipt of an A Sample adverse analytical finding, the ERASA Council Veterinarian or his delegate shall, within seven work days from receipt, conduct a review to determine whether:
- 9.16.1.1 There was any apparent departure from the ERASA testing procedures as set out in these rules or the ERASA Standard for Laboratories (see Appendix A) that caused the adverse analytical finding.
- 9.16.1.2 In the case of an adverse analytical finding in relation to controlled medication substances or controlled medication methods, whether this is consistent with an authorization as issued on an applicable properly authorized ETUE / Medication Form.
- 9.16.2 If the initial review under Article 9.16.1 does not reveal that an apparent departure from the ERASA testing procedures or from the ERASA Standard for Laboratories (see Appendix A) caused the adverse analytical finding: or, in the case of controlled medication substances or controlled medication methods, that there is no applicable and properly authorized ETUE / Medication Form, the ERASA council veterinarian or his delegate shall promptly notify the ERASA President in writing of the adverse analytical finding and the outcome of the initial review.
- 9.16.3 The ERASA President shall, within fourteen (14) work days of receipt of the report from the ERASA council veterinarian or his delegate, instruct the ERASA General Manager to notify the person responsible in writing (refer to Appendix E) of the:
- 9.16.3.1 Adverse analytical finding;
- 9.16.3.2 Rule violated;
- 9.16.3.3 Responsible persons right to request (which request must reach the ERASA General Manager within eighteen (18) calendar days of the date of the official ERASA notification) the analysis of the B Sample at a Laboratory of his choosing and at his/her cost (which cost is to be indicated), or, failing such request within the stipulated time limit, that the right to have the B sample analyzed shall be deemed waived. The request to have the B Sample analyzed is to be submitted to the ERASA General Manager on the prescribed form, refer to Appendix F), and proof of payment of the relevant laboratory fee.

- 9.16.3.4 Right of the person responsible to request a copy of the A Sample laboratory report.
- 9.16.3.5 The rights of a person facing disciplinary action and/or an investigation and/or a hearing.
- 9.16.3.6 The responsible person, of the horse in question, whose A-sample has been tested positive, will be suspended from the date of notification of the results until the Disciplinary process regarding the concerned matter has been finalised as set out under 9.16.4
- 9.16.4 Should a rider have a positive doping result the rider will be suspended with immediate effect until such time as the rider pleads guilty, is found guilty or found not guilty and the fine is paid in full and SAEF has not further suspensions.

9.16.4.1 CONTROLLED SUBSTANCE

The rider will be suspended from **participating at an event for a minimum of 3 (three) months** and a fine will be imposed, which will include the cost of the positive test.

If guilty the rider will not be eligible for any (provincial, ERASA or National) team selection, ERASA National Honorary colours for 12 (twelve) months from the date of positive test results.

Horse will go into a mandatory rest period of a **minimum of 60 (sixty) days** to recover.

9.16.4.2 BANNED SUBSTANCE

The rider's **membership will be suspended for a minimum of 6 (six) months** and a fine will be imposed which will include the cost of the positive test.

Horse will go into a mandatory rest period of a **minimum of 90 (ninety) days** to recover and the **horse will have to re-do novice phase**.

If guilty the rider will not be eligible for any (provincial, ERASA or National) team selection, ERASA National Honorary colours for 24 (twenty-four) months from the date of positive test results.

The fine will be determined by SAEF (South African Equestrian Federation) and will depend on the prohibited substance administered, if Controlled or Banned.

A second or subsequent guilty offence will attract a 24 (twenty-four) month suspension for the rider from endurance.

- 9.16.5 Pursuant to Article 9.16.3.3 above, the ERASA General Manager will, within seven (7) work days of receipt of the request from the person responsible to have the B Sample analyzed and proof of payment of the required fee, arrange for this by requesting the ERASA council veterinarian or his delegate to make the necessary arrangements with the Laboratory of the SA National Horse

Racing Authority. A copy of the request form submitted by the person responsible must be made available to the ERASA council veterinarian or his delegate.

- 9.16.6 The ERASA council veterinarian or his delegate will make the necessary arrangements with the laboratory within seven (7) workdays of receipt of the request from the ERASA General Manager. It is emphasized that all communication with the SA NHA Lab shall be through the ERASA council veterinarian or his delegate.
- 9.16.7 If the B Sample proves negative, then the entire test shall be considered negative. The ERASA council veterinarian or his delegate shall inform the ERASA President of the results and the ERASA President shall instruct the ERASA General Manager to notify the person responsible.
- 9.16.8 If a banned substance or the use of a banned method, or a controlled medication substance or the use of a controlled medication method is identified in the B Sample, the ERASA council veterinarian or his delegate shall inform the ERASA President of the results. The ERASA President shall instruct the ERASA General Manager to notify the person responsible and to make a copy of the B Sample laboratory report available to the person responsible.
- 9.16.9 For all cases where the A Sample was tested positive and the right to have the B Sample analyzed was waived, as well as for all cases where the B Sample was analyzed and was tested positive, the ERASA council veterinarian or his delegate shall make all the laboratory reports and other documents related to the testing of the horse available to the chairperson of the Disciplinary Committee of the ERASA Council, and the matter will be further dealt with in accordance with the ERASA Disciplinary Process (refer Chapter 7 of the ERASA Rules)
- 9.16.10 The certificate of analysis/laboratory report issued by the SA NHA Lab (or a foreign racing laboratory, in the case where the person responsible opted to have the B Sample analyzed at such a laboratory) will serve as *prima facie* evidence of what is contained therein. Onus of proof will be on the person responsible to refute any of the content thereof.
- 9.16.11 All samples will be deemed to have been correctly and accurately handled and analyzed, and in subsequent disciplinary proceedings the onus will be on the person responsible to prove otherwise.
- 9.16.12 If further investigations are carried out at the request of the person responsible, such further tests will be at his/her expense.
- 9.16.13 If a person responsible retires from the sport while the results management process is underway, ERASA retains jurisdiction to complete its results management process. If a person responsible retires before the results management process has begun, ERASA similarly has jurisdiction to continue with the results management process.

9.17 CONSEQUENCES TO TEAMS

- 9.17.1 If a person responsible, as a member of a team, is found to have committed a violation of the equine anti-doping and/or equine controlled medication rules during an endurance ride where a team ranking is based on the aggregate of individual results, the results of the person responsible committing the violation will be subtracted from the team result and replaced with the results of the next applicable team member. If, by removing the person responsible's results from the team results, the remaining number of riders whose

results count towards the team result is less than the required number, the team shall be eliminated from the team ranking.

- 9.17.2 If a key member of a team, other than the person responsible, such as, but not limited to, the chef d'équipe (or team manager), team veterinarian, or team coach, admits to or is found to have violated the equine controlled medication rules, the entire team may be disqualified if fairness so requires.

9.18 RECORD KEEPING, REPORTING, PUBLIC DISCLOSURE AND RECOGNITION

9.18.1 Record Keeping

9.18.1.1 The ERASA council veterinarian or his delegate shall keep the following records (or arrange for these records to be kept):

- 9.18.1.1.1 Particulars of the endurance ride meet where tests were performed.
- 9.18.1.1.2 Number of tests performed at each ride.
- 9.18.1.1.3 The test results.

9.18.1.2 The ERASA General Manager shall keep the following records:

- 9.18.1.2.1 Disciplinary action resulting from adverse analytical findings related to testing for equine banned and/or controlled medication substances as well as banned and/or controlled medication methods.
- 9.18.1.2.2 The outcome of these disciplinary actions.

9.18.2 Statistical reporting:

9.18.2.1 ERASA shall report (through SAEF) to the FEI at the end of every year aggregated and anonymous results of all doping and medication controls within their jurisdiction. The FEI may periodically publish testing data received from ERASA (through SAEF) as well as comparable data from testing under the FEI's jurisdiction.

9.18.3 Public Disclosure:

9.18.3.1 Neither ERASA nor its affiliated unions or clubs shall publicly identify horses or persons responsible whose horses' samples have resulted in adverse analytical findings, or persons responsible who were alleged to have otherwise violated these rules, until:

- 9.18.3.1.1 The adverse analytical finding of an A sample was confirmed by analysis of the B sample; or
- 9.18.3.1.2 The person responsible waives his/her right to have the B sample analyzed.

- 9.18.3.1.3 An admission of guilt by the person responsible.
- 9.18.3.2 All results will be published, including the results of samples which did not produce an adverse analytical finding. These results will only be published once the final results (including the results of any B sample analysis, should such analysis have been requested) for all samples collected at a specific ride meet are available
- 9.18.3.3 If the person responsible makes information concerning a rule violation or alleged rule violation public prior to release of this information on the ERASA Case Status Table, ERASA may comment on such public information or otherwise publicly report the matter.
- 9.18.3.4 Neither ERASA, or its affiliated unions and clubs, any ERASA approved laboratory, or any official of any of the above, shall publicly comment on the specific facts of a pending case (as opposed to a general description of process and science), except in response to public comments attributed to the person responsible or his representatives.
- 9.18.4 Recognition of decisions by FEI, National Federations and National Associations. Any decision by the FEI and/or another National Federation and/or another National Association regarding a violation of the applicable equine anti-doping and/or equine controlled medication or similar rules shall be recognized and enforced by ERASA and ERASA shall take all necessary action to implement any and all ramifications relating to such decisions.

9.19 STATUTE OF LIMITATIONS

- 9.19.1 No action may be commenced under these rules against a person responsible for an equine anti-doping and/or an equine controlled medication rule violation unless such action is commenced within one (1) year from the date the violation is asserted to have occurred.
- 9.19.2 No person will have any claim against ERASA or any of its officials for any damages suffered during or as a result of these rules, unless it is proven that ERASA or any of its officials acted with malice or where grossly negligent.

9.20 FINANCING

- 9.20.1 A compulsory levy (to the amount as decided on by Council on an annual basis) shall be collected by the organizers of all rides held under the auspices of ERASA as part of the entry fee paid by the riders entered for the ride. The levy is paid by the ride committee to the ERASA Council after completion of the ride, and will be applied for payment of costs linked to medication control and dope testing only.
- 9.20.2 The cost of analysis of Sample B (including costs related to packaging and consignment of the B Sample) must in all cases be borne by the person responsible (even if the result of the analysis of Sample B does not confirm the adverse analytical finding of the A sample).

Appendix A to Chapter 9

ERASA STANDARD FOR LABORATORIES

INTRODUCTION

- 9A-1 Chapter 9: Treatment of Horses and Equine Anti-Doping and Medication Control of the ERASA rules foresees an ERASA Standard for Laboratories (hereafter referred to as the “Standard”) in order to ensure an appropriate level of scientific and forensic integrity in the analytical process.
- 9A-2 The requirements of Chapter 9 of the ERASA rules, together with the established methodologies’ of ERASA approved laboratories for performing the analysis of ERASA samples to date, form the basis for this standard.
- 9A-3 Established methodologies for analysis of equine blood, urine and other relevant samples have for the most part evolved out of the horseracing industry due to the significant volume of samples analyzed on an annual basis. The Standard is therefore composed of documents elaborated by the International Laboratory Accreditation Cooperation (ILAC), the Association of Official Racing Chemists (AORC) and the International Federation of Horseracing Authorities (IFHA). Where appropriate, these documents are supplemented or substituted by standard operating procedures developed in an equestrian testing environment.

PURPOSE

- 9A-4 The purposes of this standard are:
- 9A-4.1 To ensure laboratory production of valid test results and evidentiary data.
- 9A-4.2 To have uniform and harmonized results among ERASA Accredited Laboratories.
- 9A-4.3 To provide transparency concerning analytical processes used by ERASA approved laboratories in the context of legal procedures undertaken after the detection of positive test results.

RULES

- 9A-5 The procedures applied by a laboratory for the screening and confirmation of results for equine are accredited to ISO 17025 by an internationally recognized accreditation body, and are performed in compliance with the current version of both ISO 17025 and the ILAC G-7 documents. Any proficiency testing organized by ERASA would comply with ISO 17043.
- 9A-6 An ERASA accredited laboratory must:
- 9A-6.1 Comply with all the requirements of the current ILAC G-7 document (Accreditation Requirements and Operating Criteria for Horseracing Laboratories)
- 9A-6.2 Comply with the current AORC Guidelines for the Minimum Criteria for Identification by Chromatography and Mass Spectrometry when positive (confirmatory) analysis is conducted.

9A-6.3 Be accredited to the ISO 17025 International Standard by an internationally recognized accreditation body.

EXPLANATORY SECTION

9A-7 Part A of ILAC Document G-7 provides information on test related accreditation requirements for equine doping-control laboratories, as used by accreditation bodies in accordance with the ISO 17025 guidelines. This Part provides safeguards as to:

9A-7.1 The prevention of "false-negative" test results.

9A-7.2 Quality control safeguards for each analytical batch.

9A-7.3 The storage and handling of controlled drugs.

9A-7.4 The minimum schedule of tests to be carried out in the initial screening for samples to be reported as negative.

9A-7.5 Documentation of the decision processes as to which samples should require further investigation.

9A-7.6 The determination and documentation of limits of detection for representative analysis in all screening methods.

9A-7.7 Checking of all records, including for negative results.

9A-8 Part B of ILAC G-7 document is a set of recommendations for establishing the presence of prohibited substances when sufficient analytical data supports the presence of a prohibited substance and no significant data refutes it. It also rejects the concept of rigid standardization and supports development by individual laboratories to improve their procedures. Part B also gives guidelines with regard to:

9A-8.1 Forensic Integrity. The sample must be received, identified, the receipt recorded, and the sample stored according to documented procedures. Access to the sample needs authorization. Unless the sample is analyzed on its own, a positive identification or quantification must be based on two portions of the original sample with consistent findings. All analytical data and chain-of-custody records must be verified. Analysts in charge of the sample analysis and verification must be suitably qualified and able to act as expert witnesses if required.

9A-8.2 Regulatory Identification

9A-8.2.1 General considerations as to the use of diagnostic data, the documentation of test methods, the stability of the analytical system and absence of interference between samples, quantification of certain substances, the use of spiked control samples, the use of library spectra or other reference materials for substance identification, and the need for written criteria as to what constitutes a match between a reference material and a sample component.

9A-8.2.2 Criteria for common techniques such as mass spectrometry, gas or liquid chromatography, thin-layer chromatography, immunoassays, and ultraviolet or fluorescence spectroscopy.

- 9A-8.3 Regulatory quantification. Criteria for regulatory quantification relating to the equipment used, the methodology of quantification, internal standards used, reference materials used, validation, and quality control. It also allows for provisional thresholds that may not be absolute concentrations or ratios.
- 9A-8.4 Referee analysis. Specifications concerning the objectives of the referee analysis (also known as the B-Sample, or split-sample analysis).
- 9A-9 Part C of the ILAC G-7 document:
- 9A-9.1 Provides a link to harmonized definitions of terms commonly used by racing chemists; and
- 9A-9.2 Compiles a few performance specifications that may be adopted by horseracing laboratories, including one (a list of minimum concentrations of certain substances that laboratories must be able to detect) required by the IFHA. The IFHA list is not all encompassing and laboratories may well be capable of detecting below the levels specified in the list. For information, an updated Performance Specification of the IFHA is published on their website at the URL (www.horseracingintfed.com/racingDisplay.asp?section=10#an4)
- 9A-10 The current AORC Guidelines for the Minimum Criteria for Identification by Chromatography and Mass Spectrometry provides a set of internationally agreed-on recommendations for the comparison of chromatography and mass spectral data consistent with ILAC G-7, Part B
- 9A-11 When performing confirmatory analysis, laboratories which also performed the initial analysis will ensure that the B Sample analysis is supervised by a qualified analyst who was not responsible for the initial analysis.

Appendix B to Chapter 9

FEI / ERASA ETUE 1 AUTHORISATION OF EMERGENCY TREATMENT

The chief veterinarian/president of the veterinary commission must append a copy to his report that is submitted to the ERASA office after the ride, and retain the original for a period of twenty-four months, and make this available when so requested by the ERASA General Manager.

FOR COMPLETION BY TREATING VETERINARIAN**TO BE COMPLETED IN CAPITAL LETTERS**

Endurance Ride: _____ Date: _____

PERSON RESPONSIBLE

Nationality: _____ Competition number: _____ ERASA Club number: _____

Name: _____

HORSE

FEI no: _____ UV Number: _____ Passport no: _____ Stable no: _____

Name: _____

Symptoms or condition requiring medication: _____

Medication used

Product name	Active ingredient	Dosage	Route (topical/oral/ subcut/im/iv)	Date and time of administration

Name of Treating Veterinarian: _____ Signature: _____

FOR COMPLETION BY THE PRESIDENT OF THE VETERINARY COMMISSION (FEI) / CHIEF VETERINARIAN (ERASA) AT THE RIDE

After examination of the above horse, I hereby authorise the treatment and consider that, to the best of my knowledge,
the horse is FIT UNFIT to participate in this endurance ride

Date and time of authorisation: _____

Name of President of the Veterinary Commission / Chief Veterinarian: _____

Signature: _____

The horse is	Competing	Withdrawn
Retired	Eliminated	Post-ride

FOR COMPLETION BY THE PRESIDENT OF THE GROUND JURY (FEI) / RIDE MASTER

In accordance with the rules and on the recommendation of the Veterinary Commission/Panel, the above horse having received emergency treatment as indicated above:

	MAY participate		MUST be withdrawn/retired
--	-----------------	--	---------------------------

Name of President of the Ground Jury / Ride master: _____

Date and time of signature: _____ Signature: _____

Number of entries in the event: _____ Final placing of horse in this event: _____

Appendix C to Chapter 9

FEI / ERASA MEDICATION FORM 3 AUTHORISATION FOR THE USE OF MEDICATION NOT LISTED AS PROHIBITED UNDER FEI / ERASA REGULATIONS

The chief veterinarian/foreign veterinary delegate must append a copy to his report that is submitted to the ERASA office/FEI after the ride, and retain the original for a period of twenty-four months, and make this available when so requested by the ERASA General Manager. **Please be advised that you may only request THREE SUBSTANCES PER FORM.** *This form applies only to medication not listed as Prohibited*

Endurance Ride: _____

Date: _____

PERSON RESPONSIBLE

Nationality: _____ Competition number: _____ ERASA Club number: _____

Name: _____ Signature: _____

I declare that I will use the following medication for the following **HORSE**:

FEI no: _____ UV Number: _____ Passport no: _____ Stable no: _____

Name: _____

Competition status (tick) The horse is	Competing		Withdrawn	
Retired	Eliminated		Post-ride	

Indication for treatment (tick)

Dehydration (after travel)		Respiratory disease		Dermatitis	
Wound		Colic		Diarrhea	
Other (specify): _____					

Route of administration (select one):

Intravenous		Intramuscular		Subcutaneous	
Nasogastric tube		Oral		Intraocular	
Other (specify): _____					

Substance administered:

Trade name	Active Ingredient	Concentration	Dosage (mg/kg)	Route (topical / oral/sc/im/iv)	Date and time of administration

TREATING VETERINARIAN

Name (print): _____ Signature: _____

AUTHORISATION BY FOREIGN VETERINARY DELEGATE (FEI) / CHIEF VETERINARIAN (ERASA) AT THE RIDE

Name (print): _____ Signature: _____

The Foreign Veterinary Delegate/Chief Veterinarian signing this form is doing so exclusively in his or her capacity as witness to the execution of this form by the relevant parties in order to certify the process. Under no circumstances should such signature be construed by any person, entity, or body as veterinary advice or legal authorisation to use the medication listed above. Veterinary advice regarding the propriety, usefulness, or legality under national law of any medication can only be given by the treating veterinarian. The FEI Veterinary Delegate/Commission, in signing this form, therefore expressly disclaims any responsibility for the administration of the medication and for any legal or other consequences whatsoever if such administration conflicts with the local law of the jurisdiction in which it is administered. Such legal responsibility resides at all times with the treating veterinarian.

Appendix D to Chapter 9

ERASA ETUE 4: OPINION ON TREATMENT ADMINSTRATED PRIOR TO DEPARTURE TO A RIDE MEET

This form is used when the person responsible wants to consult the ERASA council veterinarian or his delegate before departing to an endurance ride regarding treatment administered during the last fourteen days before ride, to ascertain whether any of the medication that was administered to a horse during this period would disqualify a horse from entering for the ride. The form is e-mailed or faxed to the ERASA council veterinarian or his delegate no later than two days before the particular ride. The ERASA council veterinarian or his delegate will evaluate the treatment described on the form, add his opinion and return the form to the person responsible. Thereafter the form must be presented to the chief veterinarian or the president of the veterinary commission officiating at the ride.

The chief veterinarian/president of the veterinary commission must append a copy to his report that is submitted to the ERASA office after the ride, and retain the original for a period of twenty-four months, and make this available when so requested by the ERASA General Manager.

FOR COMPLETION BY THE TREATING VETERINARIAN
--

TO BE COMPLETED IN CAPITAL LETTERS

Endurance Ride for which the person responsible intends to enter this horse: _____

Date of the ride: _____

PERSON RESPONSIBLE

ERASA Club number: _____ Name: _____

HORSE

FEI no: _____ UV Number: _____ Passport no: _____

Name: _____

Symptoms or condition requiring medication: _____

Medication used

Product name	Active ingredient	Dosage	Route of administration	Date and time of administration

Name of Treating Veterinarian: _____ Signature: _____

FOR COMPLETION BY THE ERASA COUNCIL VETERINARIAN OR HIS DELEGATE

 After evaluating the treatment as described above, I am of the opinion that the treatment WILL WILL NOT give the horse an unfair advantage

 Therefore, in my opinion, this horse should BE ALLOWED NOT BE ALLOWED to enter for this endurance ride

It is emphasized that this document merely provides an opinion in relation to the treatment as recorded on this document. The horse still has to pass the first veterinary inspection at the ride venue before the horse will be allowed to start the ride. The opinion in this document will no longer be valid should any additional treatment (not recorded on this document) have been / be administered to this horse during the last fourteen days prior to the ride

Date and time of opinion: _____

Name of ERASA council veterinarian or his delegate: _____ Signature: _____

FOR COMPLETION BY THE PRESIDENT OF THE VETERINARY COMMISSION (FEI) / CHIEF VETERINARIAN (ERASA) AT THE RIDE
--

 After examination of the above horse, I hereby authorise the treatment and consider that, to the best of my knowledge, the horse is FIT UNFIT to participate in this endurance ride

Date and time of authorisation: _____

Name of President of the Veterinary Commission/ Chief Veterinarian: _____ Signature: _____

The horse is	Competing		Withdrawn	
Retired	Eliminated		Post-ride	

FOR COMPLETION BY THE PRESIDENT OF THE GROUND JURY (FEI) / RIDE MASTER (ERASA)

In accordance with the rules and on the recommendation of the Veterinary Commission/Panel, the above horse having received emergency treatment as indicated above:

	MAY participate		MUST be withdrawn/retired
--	-----------------	--	---------------------------

Name of President of the Ground Jury / Ride master: _____

Date and time of signature: _____ Signature: _____

Number of entries in the event: _____ Final placing of horse in this event: _____

Appendix E to Chapter 9

NOTICE OF INTENDED DISCIPLINARY ACTION

Between:

The Endurance Ride Association of South Africa (ERASA)

And

_____ (name and identity number of the person responsible for the horse for which an adverse analytical result was reported)

POSITIVE RESULT – PROHIBITED SUBSTANCE(S) AT THE _____ (name of ride)

PLEASE NOTE that the result of the analysis of the “A Sample” collected from the horses _____ (name, UV number and passport number) at the _____ ride held at ____ on _____ showed that prohibited substance(s), namely _____ was/were present in the horse’s blood during the abovementioned endurance ride meet.

PLEASE ALSO NOTE that this document serves to inform you that the test results and all other relevant document related thereto have been referred to a Disciplinary Committee as appointed by the ERASA Council for further investigation and / or action and that you will be informed formally of any further action against the person responsible in terms of the Constitution and Rules of ERASA (as amended).

PLEASE NOTE that you, in terms of the Constitution and Rules of ERASA, will be informed in writing of the time, date and place of any formal proceeding which will be instituted against the person responsible, with an explanation of the relevant charges.

PLEASE ALSO NOTE that you are herewith granted the opportunity to elect to have the “B Sample” analyzed at your own cost. The cost attached to this amount to R _____ should the analysis be performed in South Africa at the Laboratory of the National Horse Racing Authority, or an estimated R _____ should the analysis be performed at another laboratory that satisfies the requirements as set out in the ERASA Standard for Laboratories (which laboratories are located in foreign countries). Please note that the latter amount is an estimate only, and that the final amount will depend on the laboratory of choice, the actual procedures performed by them in analyzing the sample and the exchange rate of the Rand at the date of invoicing. Should you elect to have the B Sample analyzed, you have to complete the attached “Request for the Analysis of the B Sample” and submit the completed form with proof of payment of the relevant amount to the ERASA General Manager by fax or e-mail. The completed request form and proof of payment shall reach the ERASA General Manager within eighteen (18) days from the date of this notice. You will be notified of the result of the analysis of the B Sample within a reasonable period of time after receipt of the results by ERASA. Should you fail to request to have the “B Sample” analyzed within the stipulated time limit, the right to have the B sample analyzed shall be deemed waived.

PLEASE NOTE : *The responsible person, of the horse in question, whose A-sample has been tested positive, will be temporarily suspended from the date of notification of the results until the Disciplinary process regarding the concerned matter has been finalised.*

You are also referred to a summary of your rights in relation to any formal process that might be instituted against the person responsible, as attached hereto as Appendix A.

Yours

PRESIDENT

ERASA

DATE

Appendix A

Rights of a person facing disciplinary action / an investigation / a hearing

The person has the following rights:

- The right to a formal investigation and/or hearing
- The right to be present at the abovementioned investigation and/or hearing
- The right to a fair and impartial hearing panel
- The right to be allowed a reasonable period of time to prepare his/her case / defense
- The right to receive reasonable, formal notice of the charges brought against him/her
- The right to legal advice regarding the accusations and resulting charges
- The right to be represented and supported by a fellow member of ERASA or legal counsel (at the responsible person own expense) representative, depending on the circumstances and the degree of the charges.
- The right to question and/or cross examine any witnesses, and / or voice any aspect related to testimony delivered during the investigation or hearing.
- The right to remain silent, or alternatively to present testimony through calling witnesses in support of his/her defense.
- The right to an interpreter, if requested at least five (5) business days in advance of the hearing.
- The right to a timely, written, reasoned decision, specifically including an explanation for any period of ineligibility.

Appendix F to Chapter 9

REQUEST FOR THE ANALYSIS OF THE “ B ” SAMPLE

TO BE COMPLETED IN CAPITAL LETTERS

FOR COMPLETION BY THE ERASA GENERAL MANAGER

PERSON RESPONSIBLE

Nationality: _____ Competition number: _____ ERASA Club number: _____

Name: _____

HORSE

UV or FEI Number: _____ Passport no: _____

Name: _____

ENDURANCE RIDE WHERE THE SAMPLES WERE COLLECTED

Ride name:

Ride venue:

Date of ride:

FOR COMPLETION BY THE RESPONSIBLE PERSON

I, the undersigned, herewith

- confirm that I am the person responsible as identified above, responsible for the horse as identified above,
- request that the B Sample as collected at the ride (the particulars of which are given above) be analyzed at

Laboratory	Please indicate your choice by a ✓ in the columns below	
	YES	NO
The Laboratory of the National Horse Racing Authority of SA, at a cost of R		
The Laboratory of the Hong Kong Jockey Club, at an estimated cost of		
The United Kingdom Horseracing Forensic Laboratory at an estimated cost of		
The Laboratoire des Course Hippiques in France at an estimated cost of		

- confirm that I understand that the cost for analysis at a foreign laboratory is an estimate only, and that I will pay the balance of the costs of transporting the sample to the laboratory of my choice and the analysis of the sample at this laboratory within 21 days of receipt of an invoice in this regard.
- confirm that I understand that the results of the analysis will be communicated to ERASA, and that ERASA will inform me of the results within a reasonable period of time.

The amount (either the full amount, if the analysis is to be performed at the Laboratory of the National Horse Racing Authority of SA, or the provisional estimated amount if the analysis is to be performed at a foreign laboratory) in relation to the analysis of the B sample is to be paid into the following bank account:

ERASA Cheque Account

FNB (branch code) (Acc number)

Proof of payment is attached hereto.

Signed at _____ (place) on _____ (date)

Full names of person responsible: _____

Identity number: _____

Signature: _____