

AMENDMENTS TO AUSTRALIAN RULES OF RACING

AR 2 Dictionary (definition of “qualified veterinary surgeon”)

Summary:

The term “qualified veterinary surgeon” is currently used in AR 34(3) (regarding horse registration) and AR 225 (regarding euthanasia).

From 1 January 2020 the term will also be used in new/amended rules which provide that:

- only a qualified veterinary surgeon can perform shockwave therapy on a horse –AR 86(4);
- only a qualified veterinary surgeon can perform endoscopy of the respiratory tract on a horse – AR 231(6); and
- a defence to blood doping offences exists where certain therapy is provided by a qualified veterinary surgeon – AR 257A.

The term is being defined in the Rules to provide clarity as to what constitutes a qualified veterinary surgeon.

In addition to having the relevant qualifications, the definition includes an additional requirement that the veterinarian be approved by the relevant PRA if required, given such a requirement applies under the Racing NSW Local Rules.

Amend AR 2 as follows:

AR 2 Dictionary

In the interpretation of these Australian Rules (and any race meeting held under them), unless the context requires otherwise, the words and phrases below have the meanings set out in this rule.

...

“**qualified veterinary surgeon** means a veterinarian who is:

- registered with the Veterinary Practitioners Board (or equivalent regulatory body) in a State or Territory of Australia; and
- approved by the relevant PRA (including by way of permit, approval or licence) if required by a Local Rule of that PRA.”

...

Date of effect: 1 January 2020

AMENDMENTS TO AUSTRALIAN RULES OF RACING

AR 86 Shockwave therapy

Summary:

The Racing Australia Veterinary and Analysts Committee (VAC) advises:

- there is increasing evidence of the use of shockwave therapy by lay people and that this treatment is not being reported as required under the Rules of Racing; and
- there are increased risks of tissue injury in horses that are subject to shockwave therapy performed by untrained lay people.

Accordingly, VAC has recommended that the Rules are amended to restrict the performance of shockwave therapy to qualified veterinarians only. This position is supported by the Racing Australia Chairmen of Stewards Committee.

Further, VAC has noted that Equine Veterinarians Australia does not support shockwave therapy performed by lay people.

Racing Australia has approved the addition of new subrule (4).

Amend AR 86 as follows:

“AR 86 Horses that have had shockwave therapy

...

- (4) A person must not perform shockwave therapy on a horse unless he or she is a qualified veterinary surgeon.”

...

Date of effect: 1 January 2020

AMENDMENTS TO AUSTRALIAN RULES OF RACING

AR 87 Intra-articular injections

Summary:

The Racing Australia Veterinary and Analysts Committee (VAC) notes there is significant anecdotal evidence of the increasing use of anti-inflammatory and pain relieving medications – as an alternative to corticosteroids – being given by intra-articular (IA) injection, such as the opioid morphine or the non-steroidal anti-inflammatory drug (NSAID) ketorolac (Toradol), and IA desensitising substances such as ammonium sulphate (Nuromene) and polyacrylamide hydrogel which may have a neurotoxic mechanism of action.

VAC has expressed concern that the use of IA opioids and NSAIDs close to racing would promote significant analgesia (pain numbing effect) and compromise the welfare of the horse, and the safety of the rider, in at least the same way as a corticosteroid IA injection close to racing would. Substances such as P-block which have come to attention at recent inquiries are unregistered injections and as such should not be held by trainers under AR 252.

Accordingly, VAC has recommended that AR 87 be expanded to prohibit the IA administration of any substance at any time during the 8 clear days prior to a race, official trial or jump-out. The Racing Australia Chairmen of Stewards Committee supports VAC's recommendation.

Racing Australia has approved the amendments to AR 87 as set out below.

Amend AR 87 as follows:

“AR 87 Horses that have had an intra-articular injection

- (1) If a horse has been subjected to an intra-articular injection:
 - (a) the horse is ineligible for; and
 - (b) a trainer must not enter or start the horse in, any race, official trial, or jump-out for 8 clear days following midnight on the day of the administration.
- (2) If a horse has been subjected to, or the Stewards reasonably suspect a horse has been subjected to, an intra-articular injection at any time during the 8 clear days prior to the day of a race, official trial, or jump-out, the Stewards may order the scratching of the horse from the relevant event.
- (3) If a horse has been nominated and/or entered for a race, official trial, or jump-out, a person must not:
 - (a) administer;
 - (b) cause to be administered;

- (c) attempt to administer; or
- (d) be party to the administration of,
an intra-articular injection to the horse at any time within 8 clear days of the race,
official trial, or jump-out.

Note: *By way of example, if a horse was subjected to an intra-articular injection at any time on a Monday (1st day of the month), the horse would be ineligible to race, trial or jump-out until the Wednesday of the following week (10th day of the month)."*

Date of effect: 1 January 2020

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AMENDMENTS TO AUSTRALIAN RULES OF RACING

AR 143 Apprentices' winning rides book

Summary:

Racing Australia is amending AR 143 to accord with the current practice of apprentice jockeys being required to provide their winning rides book to a Steward before weighing-out in a race.

Amend AR 143 as follows:

AR 143 Weight allowances for apprentice jockeys

...

"(12)(a) A winning rides book must be issued to every apprentice jockey by a PRA.

(b) It is the responsibility of the apprentice jockey and the apprentice jockey's master to ensure that the apprentice jockey brings the winning rides book to each race meeting the apprentice jockey participates at and that winning rides are entered in that winning rides book and endorsed by a Steward before the apprentice jockey leaves the racecourse.

(c) An apprentice jockey must provide his or her winning rides book to a Steward before weighing-out in any race."

...

Date of effect: 1 January 2020

AMENDMENTS TO AUSTRALIAN RULES OF RACING

AR 231 Endoscopy of the respiratory tract

Summary:

The Racing Australia Veterinary and Analysts Committee (VAC) advises there is increasing evidence of training establishments performing endoscopy of the respiratory tract without any veterinary involvement. Endoscopy is an invasive procedure with risks to horses and human handlers.

The act of introducing an endoscope into the respiratory tract is not itself considered an act of veterinary science within the relevant legislation where it is performed by a lay person on a horse in their care and without a fee for service being charged. However lay persons performing this procedure are by virtue of the action then accordingly making a diagnosis – which is considered an act of veterinary science – and, further, instigating some form of drug therapy as a result of that lay diagnosis (often without any veterinary consultation).

Accordingly, VAC is of the view that endoscopy of the respiratory tract on a horse should only be performed by a qualified veterinarian. The Racing Australia Chairmen of Stewards Committee supports this position.

Racing Australia has approved the addition of new subrule (6).

Amend AR 231 as follows:

AR 231 Care and welfare of horses

...

“(6) A person must not perform endoscopy of the respiratory tract on a horse unless he or she is a qualified veterinary surgeon.”

Date of effect: 1 January 2020

AMENDMENTS TO AUSTRALIAN RULES OF RACING

AR 257A Blood doping

Summary:

The Racing Australia Veterinary and Analysts Committee (VAC) has recommended that a new rule is introduced to mitigate the manipulation of normal blood parameters by infusing stored blood or blood products (commonly referred to as 'blood doping' in human sports).

This is because blood doping may be used to illegally increase the oxygen-carrying capacity of the blood. Accordingly, it represents a threat to both equine welfare and racing integrity.

The Racing Australia Chairmen of Stewards Committee is of the view that a prohibition on blood doping should be introduced into the Rules of Racing in accordance with VAC's recommendation.

Racing Australia has approved the addition of a new rule as set out below. Note the rule contains a defence in subrule (3) to any charge where blood doping was conducted for life-saving purposes and/or as part of certain veterinary regenerative treatment.

Insert new AR 257A as follows:

"AR 257A Prohibition on blood doping

- (1) A person must not:
 - (a) withdraw and re-infuse; or
 - (b) withdraw, manipulate and re-infuse, homologous, heterologous, or autologous blood, blood products or blood cells into the circulatory system of a horse.
- (2) A person must not administer any quantity of homologous, heterologous, or autologous blood, blood products or blood cells of any origin into the circulatory system of a horse.
- (3) Notwithstanding subrules (1) and (2), a PRA or the Stewards may find that it is a complete defence to a charge laid under subrule (1) or (2) if in their opinion:
 - (a) the relevant conduct was for life-saving purposes; and/or
 - (b) the relevant conduct was part of a veterinary regenerative therapy for the treatment of musculoskeletal injury or disease administered by or under the supervision of a qualified veterinary surgeon."

Date of effect: 1 January 2020

AMENDMENTS TO AUSTRALIAN RULES OF RACING

AR 270A Breach of suspension restrictions

Summary:

When licensed or registered persons are suspended, they are subject to certain express restrictions under the Rules of Racing and may also be subject to other conditions imposed by the relevant PRA or Stewards.

In contrast to the rules regarding disqualifications (AR 263(4)) – which expressly provide that a breach of any restriction while disqualified results in an automatic recommencement of the disqualification and possible further penalty (subject to PRA discretion) – the rules regarding suspensions do not specify the consequence of a breach of any restriction while suspended.

The Racing Australia Chairmen of Stewards Committee is of the view that a new rule should be introduced for breaching suspension restrictions while suspended, which is consistent with the rule in respect of disqualified persons. This will add a further deterrent for suspended persons who may be inclined to contravene the conditions of their suspension.

Racing Australia has approved the addition of a new rule as set out below.

Insert new AR 270A as follows:

“AR 270A Penalty for breach of terms of suspension

- (1) Except with the consent of the PRA or the Stewards in whose territory a suspension was imposed, a suspended person must not during the period of the suspension contravene any of the Rules in respect of, or the terms or conditions of, the suspension.
- (2) Unless otherwise determined by the PRA or the Stewards in whose territory a suspension was imposed or adopted, if a person breaches subrule (1), the period of suspension imposed on that person must automatically restart from the most recent date of the breach, and the person may also be subject to further penalty.
- (3) The provisions of subrules (1) and (2) apply to any suspended person, regardless of when the suspension was imposed.”

Date of effect: 1 January 2020

Standard Operating Procedure (SOP)

Collection of Samples and Things

Version: 1.01

1 Purpose

The purpose of this procedure is to describe the preferred process for collection of samples from registered/licensed racing animals and for the taking of other things for analysis.

2 Application

The collection of samples and things for analysis is a cornerstone of the wider responsibility to ensure public confidence in standards of integrity and animal welfare in the racing industry.

Samples or things for analysis may be collected for a number of purposes, including but not limited to, monitoring compliance with and/or gathering evidence of a breach of:

- A racing code's rules, including but not limited to the regulation of prohibited substances;
- Acceptable standards of animal welfare; and/or
- Law.

Samples may also be collected for survey or research purposes; in which case the sample or thing may be collected in a way that meets the requirements of the survey or research activity.

3 Scope

The procedure covers the following topics:

- 7.1 Collection Protocols
- 7.2 Collection Equipment – Protocol A and Protocol B
 - 7.2.1 Traceable Sampling Equipment
 - 7.2.2 Non-Traceable Sampling Equipment
- 7.3 Chain of Custody – Protocol A
 - 7.3.1 Checking the security bag and its contents
 - 7.3.2 Custody and security of samples and sampling equipment
 - 7.3.3 Resealing the security bag
 - 7.3.4 Delivery of samples to testing facility
 - 7.3.5 Receipt of samples by testing facility
- 7.4 Management of the Sampling Process and Facility
 - 7.4.1 Responsibilities of persons collecting samples
 - 7.4.2 Interaction with licensed persons in charge of an animal to be sampled
 - 7.4.3 Sampling facility
 - 7.4.4 Disposal of non-traceable collection equipment
 - 7.4.5 Suspected illness or injury in a horse or greyhound
- 7.5 Collecting Samples under Protocol A
 - 7.5.1 Identification of animals to be sampled
 - 7.5.2 Preparation and sealing procedure for all Protocol A sample collections
 - 7.5.3 Collecting urine samples

- 7.5.4 Storage and cleaning of the urine collection bowl
- 7.5.5 Collecting blood samples
- 7.5.6 Collecting saliva samples
- 7.5.7 Collecting samples other than urine, blood or saliva
- 7.5.8 Collecting samples from deceased animals
- 7.6 Chain of Custody – Protocol B
 - 7.6.1 Checking the security bag and its contents
 - 7.6.2 Custody and security of samples and sampling equipment
 - 7.6.3 Resealing the security bag
 - 7.6.4 Delivery of samples or things to testing facility
 - 7.6.6 Receipt of samples or things by testing facility
- 7.7 Procedure for Collecting Samples or Things under Protocol B
 - 7.7.1 Procedure
 - 7.7.2 Examples of appropriate packaging of Protocol B samples
- 7.8 Storing and transporting unknown or scheduled substances
 - 7.8.1 Delivery of unknown or scheduled substances
 - 7.8.2 Overnight storage of sealed security bags

The Racing Science Centre (RSC) provides training for personnel who may collect samples or things using this procedure. This SOP describes the preferred procedure for the collection of samples and things where the RSC is the testing facility providing the sampling equipment and receiving the samples or things for analysis.

4 Documentation

- Appendix 1 Example of RSC V36 Record of Sample Custody and Dispatch Protocol A
- Appendix 2 Example of Security Document Protocol A
- Appendix 3 Example of RSC V63 Record of Sample Custody and Dispatch Protocol B
- Appendix 4 Example of Security Document Protocol B

5 Warnings

In collecting samples, persons may come into contact with, or be in close proximity to, animals and biological materials from those animals. Persons collecting samples should be aware of and assess the potential risks associated with the collection process and take appropriate action to ensure the health and safety of themselves and others. Gloves should be worn when taking samples. In addition, it may be appropriate to wear personal protective equipment, such as a respirator, face shield/safety eyewear, and disposable protective clothing in particular circumstances.

In accordance with the Commission's [Workplace Health and Safety Policy](#) all persons collecting samples must actively adhere to health and safety practices and report all health and safety related incidents that occur during the sample collection process.

Specifically, under Section 37 of the [Work Health and Safety Act 2011](#) any serious risk to a person's health and safety as a result of exposure to spillage or leakage of a substance is classed as a **dangerous incident** and notifiable under the Act. Accordingly, accidental exposure to animal samples,

dangerous substances or unknown substances during the collection process should be reported and managed as a 'Red Level Incident' under the Commission's [Work Health and Safety Incident Reporting, Recording and Investigation Procedure](#).

Managers must also ensure that, in response to any health and safety incidents that occur during the collection of samples, corrective actions are implemented.

5.1 Hendra Virus

To date, Hendra virus has not been identified in any horse presented to race. Hendra virus is a disease with the potential to cause illness and death in humans. If there is any suspicion that a horse may be unwell, the raceday veterinarian and stewards are to be contacted immediately. Until the raceday veterinarian has made an assessment, contact with the horse and between the horse and other horses should be avoided. A biosecurity plan for suspect Hendra virus cases has been developed. The implementation of this plan is the responsibility of the raceday veterinarian and stewards. Further information about Hendra virus is available at: [Hendra virus](#).

6 Abbreviations, acronyms and definitions

Term/acronym	Definition
Sample Collection Official (SCO)	A person employed by QRIC to collect samples or things.
Collection Officer (CO)	A person authorised by the Commissioner to collect samples or things. For the purposes of this SOP, a CO may be: <ul style="list-style-type: none">(i) a SCO;(ii) a steward;(iii) a veterinarian employed by QRIC;(iv) a veterinarian contracted by QRIC to officiate at a race meeting, event, test, trial or jump-out;(v) a veterinarian otherwise engaged to officiate at a race meeting, event, test, trial or jump-out;(vi) a veterinarian approved to take samples at horse sales(vii) an authorised officer appointed by the Commissioner.
Authorised Officer	A person appointed by the Commissioner as an authorised officer.
RSC	Racing Science Centre
WH & S	Workplace Health and Safety
Scheduled Substance	A drug or poison listed in schedules 2 to 9 of the Poisons Standard and restricted by the <i>Health (Drugs and Poisons) Regulation 1996</i> .

7 Procedure

7.1 Collection Protocols

There are two protocols for collecting samples and other things for analysis.

Protocol A Protocol A is the preferred procedure for collecting samples and things for analysis that can be split into two portions, such as biological samples taken or produced by a horse or greyhound.

Protocol B Protocol B is the preferred procedure for collecting samples or things for analysis where it is not reasonable or practical to split the sample or thing into two portions at the time of collection, such as pharmaceutical products or husbandry equipment.

7.2 Collection Equipment – Protocol A and Protocol B

7.2.1 Traceable Sampling Equipment

Traceable sampling equipment is supplied by the testing facility in accordance with the facility's procedures. Non-traceable sampling equipment may also be provided by the testing facility.

Traceable sampling equipment consists of items with a unique sample number;

- (i) Security bags; and
- (ii) Collection kits.

All uniquely numbered traceable sampling equipment, used or unused, with the exception of the Security Document [Appendix 2, Appendix 4], is to be returned to the testing facility in a security bag sealed with a tamper evident tag.

7.2.2 Non-Traceable Sampling Equipment

Non-traceable equipment includes, but is not limited to:

- (i) Gloves;
- (ii) Blood collection tubes and needles;
- (iii) Alcohol prep swabs;
- (iv) Buccal (mouth) swabs; and
- (v) Sharps disposal units and pathological waste bags.

Items of non-traceable sampling equipment can be returned to the testing facility if unused or appropriately disposed of after use.

7.3 Chain of Custody – Protocol A

7.3.1 Checking the security bag and its contents

- (a) Each security bag is to be opened for use on the day samples are to be collected.
- (b) Each security bag is to be opened in the presence of a steward (or authorised officer) and a Collection Officer (CO).
- (c) Both parties are required to check that the numbered collection kits contained in the security bag correspond to those listed in section 2 of the 'Record of Sample Custody and Dispatch Document Protocol A' (custody document) [Appendix 1] and countersign section 1 to verify that the bag number, zipper seal tag number and kit numbers are correct.
- (d) Where there is an inconsistency, details of the inconsistency should be noted on the custody document and signed by both persons who signed section 1.

7.3.2 Custody and security of samples and sampling equipment

After taking possession of a security bag, one or more COs are responsible for:

- (a) Taking and securing samples; and
- (b) Completing section 2 of the custody document as it relates to that particular sample.

A person completing section 2 of the custody document in respect of any sample must have:

- (a) Personally taken or witnessed the sample being taken; and
- (b) Taken custody of the sample; and
- (c) Sealed the sample in accordance with this SOP.

7.3.3 Resealing the security bag

When all relevant samples have been collected, one or more stewards or authorised officers are to:

- (a) Take possession of the security bag containing the samples and the associated custody document and Security Documents [Appendix 2] for the samples; and
- (b) Check that all sample collection kits listed on the custody document are present in the security bag; and
- (c) Examine the samples to ensure that the seals are intact and numerically consistent with the associated documentation; and
- (d) Check that sections 1 and 2 of the custody document and the Security Document for each sample have been completed accurately; and
- (e) Seal the security bag with a zipper seal tag and complete section 3 of the custody document; and
- (f) Securely store the bag until it is delivered or consigned for delivery to the testing facility and complete section 4 of the custody document.

The Security Documents for the samples collected on the day are retained by stewards or authorised officers for their records.

7.3.4 Delivery of samples to testing facility

A steward, veterinarian employed by QRIC or authorised officer must:

- (a) Deliver the security bag and the custody document to the testing facility; and
 - (b) Complete section 5(a) of the custody document.
- or**
- (c) Arrange for the delivery of the security bag by courier to the testing facility; and
 - (d) Complete section 5(b) of the custody document.

7.3.5 Receipt of samples by testing facility

Samples are received in accordance with the testing facility's procedures.

7.4 Management of the Sampling Process and Facility

7.4.1 Responsibilities of persons collecting samples

- (a) Maintain the secure custody of sampling equipment, collected samples and any associated documentation.
- (b) Advise the person in charge of an animal to be sampled that the animal is not to eat anything prior to sampling but may drink from a hose or from a freshly rinsed and filled bucket.
- (c) Immediately report any incident or accident involving any person or animal in the sampling enclosure to stewards or raceday veterinarian as appropriate.
- (d) Deliver the samples, associated documentation, unused sampling equipment and yellow biohazard waste bags to the stewards at the conclusion of the meeting.
- (e) Ensure the sampling facilities are left clean, tidy and secure at the end of the race meeting.
- (f) COs may be asked to give evidence regarding the collection of a sample at stewards' inquiries and subsequent proceedings.
- (g) It is recommended that COs develop a routine that is consistently performed when collecting samples and make a note for themselves, for example in their race book from the meeting, of any circumstances which differ from their usual sample collection routine.
- (h) Advise stewards of any unusual event or circumstance that could affect the integrity of the samples collected.

7.4.2 Interaction with licensed persons in charge of an animal to be sampled

- (a) Licensed persons who enquire as to why their animal has been selected for sampling are to be advised that animals are sampled on the instruction of the stewards.
- (b) Licensed persons who are not satisfied with the response or who require additional information should be referred to the stewards.
- (c) Instances involving licensed persons who are uncooperative or dissatisfied about the way a sample was collected should be immediately referred to the stewards. The CO should maintain custody of the horse or greyhound until a steward can be contacted. Another sample may be collected in such circumstances.
- (d) There is no requirement to provide any information to members of the public who ask about the collection of samples. It is appropriate for a CO to simply state that they are unable to comment.

7.4.3 Sampling facility

- (a) No persons other than stewards, veterinarians, authorised officers, SCOs and licensees in charge of animals being sampled are permitted in the sampling area without prior authorisation from the stewards.
- (b) Personal medications should not be taken into the sampling stall. Advise the stewards if there are medical reasons for an inability to comply with this requirement.
- (c) Food or drink is not permitted in the sampling stall or room.

Note: The above measures are designed to prevent contamination of the sampling area. These measures are distinct from the use of the control solution which is used to ensure any contamination of the sampling equipment is detected.

7.4.4 Disposal of non-traceable collection equipment

- (a) Gloves and general swab stall waste are disposed of in yellow biohazard/clinical waste bags.
Waste bags are returned to stewards at the end of day for disposal.
- (b) Needles are disposed of in yellow sharps disposal units.
Return units to stewards when full for disposal.

7.4.5 Suspected illness or injury in a horse or greyhound

If there is any concern that a horse or greyhound may be injured or unwell, the raceday veterinarian and stewards are to be contacted immediately.

Refer to 5 (Warnings) and 5.1 (Hendra virus) for more information.

7.5 Collecting Samples under Protocol A

Note: The procedures described below at 7.5.1 and 7.5.2 are to be followed for a sample of any type collected under Protocol A.

7.5.1 Identification of animals to be sampled

Prior to collecting a sample, the CO must verify the identity of the licensed/registered animal by one of the following means:

1. Confirming identity by reference to the animal's identity papers; or
2. Confirming identity by reference to a list of brands and markings supplied by stewards; or
3. Confirming identity by use of a microchip scanner.

7.5.2 Preparation and sealing procedure for all Protocol A sample collections

- (a) Ensure the person in charge of the licensed/registered animal is able to observe the sample being taken and sealed.
- (b) Show the person in charge of the licensed/registered animal that the plastic bag containing the sampling equipment is intact.
- (c) Cut the plastic bag open just below the heat seal to remove the sampling equipment. Keep the empty bag (see (i)).
- (d) Check that the numbers on the three-pocket security pouch, Security Document and the three tamper evident seals are the same unique number. If the numbers are not the same, and additional collection kits are available, place the plastic bag and its contents back into the security bag and select another collection kit.
- (e) Collect the sample in accordance with 7.5.3 (urine), 7.5.5 (blood), 7.5.6 (saliva), 7.5.7 (other sample types), and 7.5.8 (samples from deceased animals) as appropriate.
- (f) After placing the samples in the bottles, place one tamper evident seal over the cap of each bottle. Ensure the seal goes over the cap and down both sides of the bottle.
- (g) Complete the required details on the centre pocket of the three-pocket security pouch.
- (h) If provided, place an absorbent pad inside each pocket of the three-pocket security pouch. Note: The absorbent pad is a packaging requirement for transportation of samples by air.
- (i) Place one sealed bottle into each pocket of the three-pocket security pouch and seal the opening. Place the security pouch inside the plastic bag retained at (c). Note: See 7.5.6 for collection of saliva samples using buccal swabs.
- (j) Complete the Security Document. The person in charge of the licensed/registered animal signs to acknowledge that they have witnessed the collection and packaging of the sample and is given the pink copy of the completed Security Document.

Note: Where more than one type of sample is taken from the same animal, a separate collection kit must be used for each sample.

When collecting samples from deceased animals it is sufficient for a steward, SCO or authorised officer to witness the collection of samples by a veterinarian if the person in charge of the licensed/registered animal is not present.

7.5.3 Collecting urine samples

Note: See 7.5.1 (Identification), 7.5.2 (Preparation and sealing).

Ensure the urine collection bowl has been cleaned in accordance with 7.5.4.

Gloves must be worn while rinsing the equipment with the control solution, collecting and splitting the sample.

All equipment that will come into contact with the urine must be rinsed with the control solution.

If any piece of sampling equipment is soiled (for example, if dropped to the floor), it should be washed under running water and re-rinsed with the control solution.

The preferred sequence for rinsing the equipment is as follows:

- (a) Shake the bottle containing the control solution;
- (b) Empty the control solution into the urine collection bowl and rinse the bowl thoroughly;
- (c) Pour all of the control solution from the bowl back into the original bottle and cap it;
- (d) Ensure all bottles are secure from interference while the urine is being collected;
- (e) Collect the urine sample;
- (f) Pour the control solution from the original bottle into the second bottle, cap it and shake; and
- (g) Pour the control solution from the second bottle into the third bottle and cap. This bottle now contains the control solution.

Split the sample between the two empty rinsed bottles.

Where there is sufficient urine, fill each bottle to approximately three quarters full.

If there is insufficient urine to three quarters fill both bottles, split the urine so there is approximately one third of the urine in one bottle and two thirds in the other bottle.

After capping the bottles, remove gloves for ease of applying seals.



7.5.4 Storage and cleaning of the urine collection bowl

The urine collection bowl should be securely stored between sample collections and when the sample collection facility is not in use.

The bowl should be replaced as soon as possible if it becomes corroded or damaged.

Procedure for cleaning bowls

Prior to first collection on a given day

- (a) Wet the entire bowl with running water;
- (b) Clean the entire inner and outer surfaces of the bowl (including lip of bowl) with a clean scour pad;
- (c) Thoroughly rinse the entire bowl under running water; and
- (d) Allow to drain by inverting on a clean surface.

After an individual urine sample has been collected

- (a) Thoroughly rinse the bowl with running water; and
- (b) Allow to drain by inverting on a clean surface.

After the last urine sample has been collected for the day

- (a) Wet the entire bowl with running water;
- (b) Clean the entire inner and outer surfaces of the bowl (including lip of bowl) with a clean scour pad;
- (c) Thoroughly rinse the entire bowl under running water;
- (d) Allow to drain by inverting on a clean surface; and
- (e) Securely store the bowl.

Note: During the collection of a urine sample, the use of the control solution to rinse the urine collection bowl does not constitute cleaning of the urine collection bowl.



7.5.5 Collecting blood samples

Note: See 7.5.1 (Identification), 7.5.2 (Preparation and sealing).

A registered veterinarian must collect the blood from the horse or greyhound. A CO other than a veterinarian may complete other aspects of the procedure if they have witnessed the veterinarian collect the blood. If this is the case, ensure each person completes the appropriate sections of the Security Document.

For horses, collect 6 tubes of blood.

For greyhounds, collect 2 tubes of blood.

Mark the blood tubes with the unique number appearing on the collection kit materials.

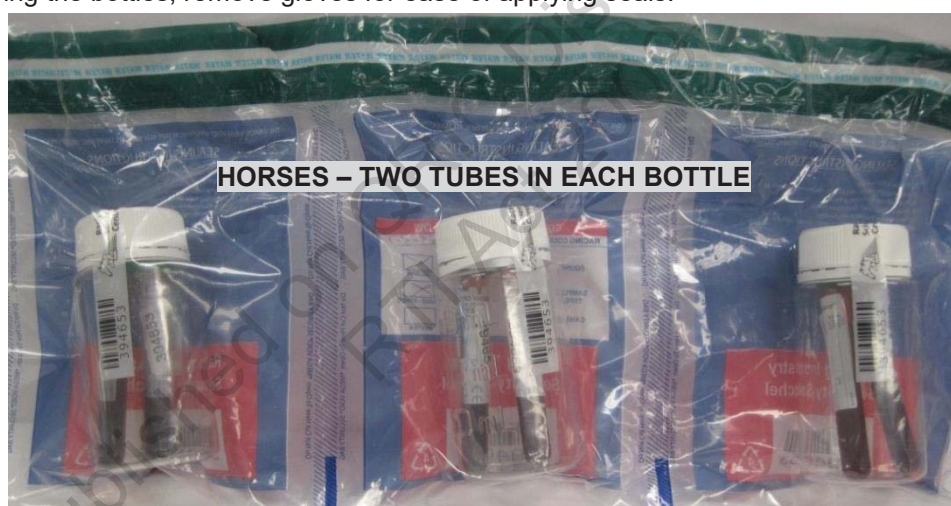
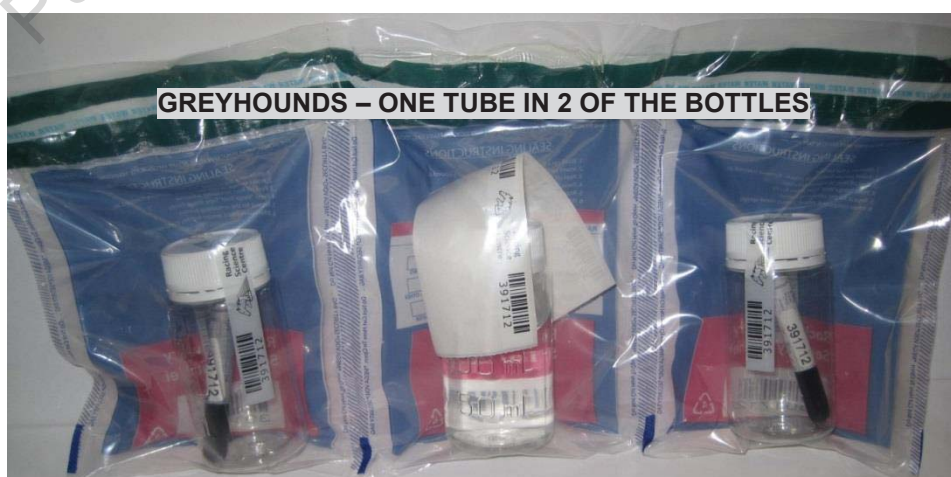
The veterinarian must wear gloves while collecting blood.

Allow each of the blood collection tubes to fill completely with blood.

For **horses** place two full tubes of blood in each bottle. (Discard the control solution.)

For **greyhounds** place one full tube of blood in each of two empty bottles. The bottle containing the control solution is returned in the third pouch. It is not necessary place a tamper evident seal over the cap of the control solution bottle.

After capping the bottles, remove gloves for ease of applying seals.



7.5.6 Collecting saliva samples

Note: See 7.5.1 (Identification), 7.5.2 (Preparation and sealing).

A registered veterinarian must collect saliva from the horse or greyhound. A CO other than a veterinarian may complete other aspects of the procedure if they have witnessed the veterinarian collect the saliva. If this is the case, ensure each person completes the appropriate sections of the Security Document.

The veterinarian must wear gloves while collecting saliva.

For both horses and greyhounds, collect two buccal swabs.

- (a) Without handling the swab below the cap, insert the buccal swab into the control solution to moisten the swab.
- (b) Rub the swab around the inside of the animal's mouth.
- (c) Place the swab back into its protective case, without touching the swab below the cap.
- (d) Remove gloves for ease of applying seals. Apply a tamper evident seal over the top of the control solution and over the top of each buccal swab.
- (e) Place one swab in each of two pouches and the bottle containing the control solution in the third pouch and seal the pouches. Discard the two unused bottles.

Dispose of any personal protective equipment in an appropriate manner.

Note: The cap of the buccal swab can be screwed onto its protective container to extend its length during the collection process.



7.5.7 Collecting samples other than urine, blood or saliva

Note: See 7.5.1 (Identification), 7.5.2 (Preparation and sealing).

A registered veterinarian must collect any sample other than urine from the horse or greyhound. A CO other than a veterinarian may complete other aspects of the procedure if they have witnessed the veterinarian collect the sample. If this is the case, ensure each person completes the appropriate sections of the Security Document.

Samples including, but not limited to, hair, and other bodily fluids such as vomit may be collected.

The collection and separation of such samples may require use of a device or a novel approach. Biological and forensic integrity of the samples should be maintained.

In addition to rinsing the bottles with the control solution, any instrument or device used in the collection (other than sealed, single use equipment) must be rinsed with the control solution.

Gloves must be worn while rinsing the equipment with the control solution, collecting and splitting the sample. After capping the bottles, remove gloves for ease of applying seals.

Dispose of any personal protective equipment in an appropriate manner.

Note: Where multiple samples of different types are collected from the same animal a separate collection kit must be used for each sample.

7.5.8 Collecting samples from deceased animals

Note: See 7.5.1 (Identification), 7.5.2 (Preparation and sealing).

A registered veterinarian must collect samples from a deceased horse or greyhound. A CO other than a veterinarian may complete other aspects of the procedure if they have witnessed the veterinarian collect the sample. If this is the case, ensure each person completes the appropriate sections of the Security Document.

Biological samples that can be collected from deceased animals include, but are not limited to, urine, blood, saliva, joint fluid, bile, gastrointestinal contents and tissues.

The collection and separation of some samples may require the use of a device or a novel approach. An instrument or device may be used to assist with the sample collection. For example, a syringe and needle or urinary catheter may be used to collect urine from an animal's bladder. Biological and forensic integrity of the samples should be maintained.

In addition to rinsing the bottles with the control solution, any instrument or device used in the collection (other than sealed, single use equipment) must also be rinsed with the control solution.

Gloves must be worn while rinsing the equipment with the control solution, collecting and splitting the sample. After capping the bottles, remove gloves for ease of applying seals.

Dispose of any personal protective equipment in an appropriate and hygienic manner.

Note: Where multiple samples of different types are collected from the deceased animal a separate collection kit must be used for each sample.

When collecting samples from deceased animals it is sufficient for a steward, SCO or authorised officer to witness the collection of samples by a veterinarian if the person in charge of the licensed/registered animal has declined to be present during the sample collection process.

7.6 Chain of Custody – Protocol B

7.6.1 Checking the security bag and its contents

- (a) Each security bag is to be opened for use on the day samples are to be collected.
- (b) Each security bag is to be opened in the presence of a steward (or authorised officer) and a Collection Officer (CO).
- (c) Both parties are required to check that the numbered collection kits contained in the security bag correspond to those listed in section 2 of the 'Record of Sample Custody and Dispatch Document Protocol B' (custody document) **[Appendix 3]** and countersign section 1 to verify that the bag number, zipper seal tag number and kit numbers are correct.
- (d) Where there is an inconsistency, details of the inconsistency should be noted on the custody document and signed by both persons who signed section 1.

7.6.2 Custody and security of samples and sampling equipment

The persons mentioned in 7.6.1 are responsible for:

- (a) Taking samples or things and maintaining secure custody of such samples or things; and
- (b) Completing section 2 of the custody document as it relates to a particular sample or thing.

A person completing section 2 of the custody document in respect of any sample or thing must have:

- (a) Personally taken or witnessed the taking of the sample or thing; and
- (b) Taken custody of the sample or thing; and
- (c) Sealed the sample or thing in accordance with 7.7.

7.6.3 Resealing the security bag

When all relevant samples or things have been collected:

- (a) Check that all sample collection kits listed on the custody document are present in the security bag; and
- (b) Examine the samples or things to ensure that the seals are intact and numerically consistent with the associated documentation; and
- (c) Check that sections 1 and 2 of the custody document and the Security Document **[Appendix 4]** for each sample or thing have been completed accurately; and
- (d) Seal the security bag with a zipper seal tag and complete section 3 of the custody document; and
- (e) Securely store the bag until it is delivered or consigned for delivery to the testing facility and complete section 4 of the custody document.

7.6.4 Delivery of samples or things to testing facility

A steward, veterinarian employed by QRIC or authorised officer must:

- (a) deliver the security bag and the custody document to the testing facility; and
 - (b) Complete section 5(a) of the custody document.
- or**
- (c) Arrange for the delivery of the security bag by courier to the testing facility; and
 - (d) Complete section 5(b) of the custody document.

7.6.5 Receipt of samples or things by testing facility

Samples or things are received in accordance with the testing facility's procedures.

7.7 Procedure for Collecting Samples or Things under Protocol B

7.7.1 Procedure

- (a) **The collection of things under Protocol B may be witnessed by a CO or the relevant licensee.**
- (b) Show the witness that the plastic bag containing the sampling equipment is intact.
- (c) Cut the plastic bag open just below the heat seal to remove the sampling equipment.
- (d) Check that the number on the security pouch, Security Document and the tamper evident seal is the same unique number. If the numbers are not the same, and additional collection kits are available, place the plastic bag and its contents back into the security bag and select another collection kit.
- (e) If the sample or thing will fit into the container, place the sample or thing in the container, place the tamper evident seal over the cap of the container, place the container in the security pouch and seal the pouch.
- (f) If the sample or thing is too large to fit into the container, the sample or thing may be placed directly into the numbered security pouch and the pouch sealed. In this case the tamper evident seal which would normally be applied over the cap of the container should be applied directly to the sample or thing. The unused container can be returned in the security bag.
- (g) If the sample or thing taken is too large to fit into the security pouch, place the labelled sample or thing directly into the red security bag.
- (h) If the sample or thing is too large to fit into the red security bag, apply the tamper evident seal to a conspicuous part of the sample or thing and keep the sample or thing secure until such time as it can be delivered to the testing facility.
- (i) Complete the Security Document. The person who witnessed the collection signs the appropriate section and retains the pink copy of the completed Security Document.

Note: Each individual sample or thing should be placed into its own individual container or pouch.

7.7.2 Examples of appropriate packaging of Protocol B samples



If the sample or thing will fit into the container;

Place the sample or thing in the container, place the tamper evident seal over the cap of the container, place the container in the security pouch (small or large pouch) and seal the pouch.



If the sample or thing is too large to fit into the container;

The sample or thing may be placed directly into the numbered security pouch and the pouch sealed. In this case the tamper evident seal which would normally be applied over the cap of the container should be applied directly to the thing. The unused container can be returned in the security bag.

Note: Small and large security pouches are included in each red security bag. A sticker on the kit identifies the size of the security pouch in a particular kit.



Collecting needles;

Needles (whether capped or uncapped) must not be collected other than by use of the container. If the needle is attached to a syringe such that the combined items will not fit into the container, the needle should be removed from the syringe.

7.8 Storage and delivery of unknown or scheduled substances

Substances known or suspected to be scheduled substances must only be collected and transported by individuals named in a S18(1) approval, issued by Queensland Health, or nomination made under such an approval.

Where substances are known or suspected to be scheduled substances, they must be collected in accordance with the procedure for collecting and securing Protocol B samples.

If a substance is collected during an inspection because it is known or suspected to be a scheduled substance, additional storage and transport requirements may apply to ensure compliance with the Commission's approval to possess and transport such substances under the *Health (Drugs and Poisons) Regulation 1996*.

The refrigeration requirements of scheduled and unknown substances should be considered if the sample or substance is collected from a refrigerator.

7.8.1 Delivery of unknown or scheduled substances

A steward, veterinarian employed by QRIC or authorised officer must:

- (a) deliver the security bag and the custody document to the testing facility; and
 - (b) Complete section 5(a) of the custody document.
- or**
- (c) Arrange for the delivery of the security bag by courier to the testing facility; and
 - (d) Complete section 5(b) of the custody document.

7.8.2 Overnight storage of sealed security bags

Where known or suspected scheduled substances are collected in regional areas and not able to be transported to the testing facility that day, the overnight storage of the security bag must ensure the integrity of the chain of custody.

Sealed security bags are to be stored overnight in a secure safe in the regional stewards' office or, where officers are away from their primary place of business, the officer's hotel room in a double-locked Pelican Case.



**SAMPLE SECURITY DOCUMENT FOR TAKING A
SAMPLE FOR ANALYSIS
(PROTOCOL A)**

number
+ barcod

Steward copy

1. Approved control body _____
2. Name of licensed animal _____
3. Sample type _____
4. The track or other place where sample was taken _____
5. Date and time the sample was taken
• Date (dd/mm/yy) ____/____/____ • Time (hh/mm) ____:____ am/pm
6. For a blood sample - the number on each tube of blood is the same and matches the number on the seal over the cap of the container into which the tube of blood was placed.
7. If the sample was taken in connection with a test, race or trial that has been run, or is about to be run, at a race meeting or trial, complete the following -
 - The race club or control body conducting the test, race meeting or trial

 - The race or trial number _____
 - The placing (if any) of the animal in the race or trial _____
8. The number with which the sample is numbered number
9. I, _____ am the person who collected the sample.
10. I, _____ am the person who placed the sample in 1 or more containers and sealed the container or containers.
11. I, _____ witnessed the whole process of collecting the sample, placing it in 1 or more containers and sealing the container or containers.
12. The information in items 1 to 5 (and, for a blood sample, item 6) and items 8 and 11 is correct.
Signed _____
(The witness mentioned in item 11)
13. The information in items 1 to 5 (and, for a blood sample, item 6) and items 7, 8 and 9 is correct.
Signed _____
(The person who collected the sample)
14. The information in items 1 to 5 (and, for a blood sample, item 6) and items 7, 8 and 10 is correct.
Signed _____
(The person mentioned in item 10)



RSC V63
Record of Sample Custody and Dispatch
Protocol B

1. VERIFICATION OF SAMPLE COLLECTION KITS RECEIVED

The kits listed at 2. were received in Red Security Bag No:

which was sealed with intact Red Zipper Seal Tag No:

Seward/Authorized Officer (AO)	Name: _____	Seward/Sample Collection Official (SCO)/Vol/Authorized Officer (AO)/Witness	Name: _____
	Signature: _____		Signature: _____

2. SAMPLE COLLECTION RECORD

Racing Code: ☐ Thoroughbred ☐ Harness ☐ Greyhound Place of Collection: _____ Date of Collection: _____

NOTE: The person whose signature appears below certifies that they have personally taken, or witnessed the sample or thing being taken, and sealed the sample or thing.

[illegible]

3. SAMPLES RECEIVED, KEPT SECURE AND THEN SEALED IN SECURITY BAG WITH BLUE ZIPPER SEAL TAG

Time: : ☐ am ☐ pm	Date: / /	Name: _____	(Steward or AO)	Signature: _____
Blue Zipper Seal Tag No: _____				

4. SAMPLES SECURELY STORED

Time:	:	☐ am ☐ pm	Date:	/	/	Name:	(Steward or A/C)	Signature:
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5. (a) SAMPLES DELIVERED IN PERSON TO RACING SCIENCE CENTRE

Time: :	☐ am ☐ pm	Date: / /	Name:	(Steward or A/O)	Signature:
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OR (b) SAMPLES CONSIGNED FOR DELIVERY TO RACING SCIENCE CENTRE (with blue zipper seal tag intact)

Time: ☐ am ☐ pm	Date: / /	Dispatched/ posted by:	(Steward or A/C)	Signature:
Courier Company Name:		Consignment Number:		

6. RACING SCIENCE CENTRE RECEIPT

Time: :	☐ am ☐ pm	Date: / /	Blue Zipper Seal Tag No:	Intact on arrival? ☐ Yes ☐ No	Receipt Number
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ALL SEALS intact & consistent? Yes ☐ No ☐ If No, detail below:	Other non-compliance noted? Yes ☐ No ☐ If Yes, detail below:
RSC Officer:	Signature:



**SAMPLE SECURITY DOCUMENT FOR TAKING A SAMPLE
OR THING FOR ANALYSIS
(PROTOCOL B)**

number
+ barcod

Steward copy

1. Approved control body _____
2. Description of the sample or thing _____

3. Place where the sample or thing was taken _____
4. Date and time the sample or thing was taken
• Date (dd/mm/yy) ____/____/____ • Time (hh/mm) ____:____ am/pm
5. The number with which the sample or thing is numbered — **number**
6. I, _____ am the person
who took and dealt with the sample or thing.
7. I, _____ am the person
who witnessed the whole process of taking and dealing with the sample or
thing for analysis.
8. The information in items 1 to 6 is correct.

Signed _____
(The person mentioned in item 6)
9. The information in items 1 to 5 is correct.

Signed _____
(The person mentioned in item 7)

9 Version history

Date	Version	Action	Description / comments
30 June 16	0.01	Section 78B(2)	Endorsed by: Section 78B(2) Racing Integrity Advisor
1 July 16	1.00	Approved by Commissioner	New Standard Operating Procedure
5 June 19	1.01	Amended by Section 78B(2) Reviewed by Section 78B(2) and Section 78B(2)	Review and inclusion of provisions to support the storage and delivery of scheduled substances.

10 Approval

Approved:

Ross Barnett APM
Commissioner
Queensland Racing Integrity Commission

Date: 05/06/2019