

PUBLIC PROTECTION CABINET
Kentucky Horse Racing Commission
(Amended at ARRS Committee)

810 KAR 9:010. Hearings, reviews, and appeals.

RELATES TO: KRS Chapter 13B, 230.215(2), 230.310(2), 230.320, 230.330

STATUTORY AUTHORITY: KRS 230.215(2), 230.320, 230.370

NECESSITY, FUNCTION, AND CONFORMITY: KRS 230.215 vests the Kentucky Horse Racing Commission with plenary power to promulgate administrative regulations prescribing conditions under which all legitimate horse racing and wagering thereon is conducted in the Commonwealth. KRS 230.320(1) authorizes the commission to promulgate administrative regulations under which any license may be denied, suspended, or revoked, and under which any licensee or other person participating in Kentucky horse racing may be assessed an administrative fine or required to forfeit or return a purse. KRS 230.320(3) requires the commission to grant an appeal and administrative hearing in accordance with KRS Chapter 13B to any person whose license is denied, suspended, or revoked or who is assessed an administrative fine or required to return a purse. KRS 230.320(5) authorizes the commission to determine that certain appeals are frivolous and requires prescription of the factors leading to such a determination. KRS 230.370 authorizes the commission to promulgate any reasonable and necessary administrative regulation for the conduct of hearings before it. This administrative regulation establishes the procedures for administrative hearings and appeals held pursuant to KRS Chapter 230 and establishes parameters for frivolous appeals.

Section 1. Public Disclosures.

(1) The commission or its executive director may publicly disclose information regarding an alleged regulatory violation , if ~~this~~ ~~such~~ information will not unduly impact any investigation , in accordance with the following provisions: ~~for~~

(a) After notice to the racing participant, the commission or its executive director may publicly disclose the identity of any racing participant who is accused of an alleged regulatory violation and the identity of the horse at issue;

(b) After both the commission and racing participant receive testing results pursuant to 810 KAR 8:010 and 810 KAR 8:060, the commission or its executive director may publicly disclose the alleged conduct or the alleged amount and type of the medication, drug, or substance that gave rise to the alleged regulatory violation; ~~for~~

(c) At any time, the commission or its executive director may publicly disclose the date of an upcoming stewards' hearing; or

(d) At any time, the commission or its executive director may publicly disclose other information in the best interests of racing.

(2) Situations giving rise to the disclosure of information by the commission or its executive director may include the following:

(a) Information pertaining to an alleged regulatory violation has been previously publicly disclosed by the racing participant or any employee or agent of the racing participant;

(b) In the case of an alleged medication violation : ~~for~~

1. ~~if~~ The commission's laboratory has returned a positive finding and the racing participant has been notified of the results of the split sample pursuant to 810 KAR 8:010; or

2. ~~(c)~~ ~~In the case of an alleged medication violation, if~~ The commission's laboratory has returned a positive finding and the racing participant has not exercised his or her right to further laboratory testing; or

~~(c) {(d)}~~ For other reasons in the best interests of racing.

Section 2. Stewards' and Judges' Hearings.

(1) A stewards' or judge's hearing, as applicable, shall be conducted by a state steward or a state judge unless waived in writing by the party charged with the violation. A stewards' or judges' hearing shall be conducted no more than sixty (60) days after either:

(a) The racing participant is notified of an alleged violation ; ~~f.s.~~ or

(b) If the racing participant requests split laboratory results, the date on which the participant receives those results.

(2) The stewards or judges may extend the sixty (60) day deadline in their sole discretion, upon demonstration of exigent circumstances.

(3) ~~{(2)}~~ At least two (2) stewards or judges shall~~must~~ be present at all times during the hearing. All three (3) stewards or judges shall review the evidence and testimony prior to issuing a ruling. A ruling shall be made by all three (3) stewards or judges sitting in the matter.

(4) ~~{(3)}~~ A party charged with a violation, other than a routine riding offense occurring in a race, shall be given written notice of the stewards' or judges' hearing, unless waived in writing by the party charged.

(5) ~~{(4)}~~ Public attendance at stewards' and judges' hearings shall be ~~is~~ allowed. This ~~Nothing in this~~ section shall not limit ~~limits~~ the authority of the presiding stewards or judges to order closure of a hearing or to make other protective orders to the extent necessary or proper to satisfy the United States Constitution, the Kentucky Constitution, federal or state statute, or other law, such as laws protecting privileged, confidential, or other protected information. ~~Stewards' and judges' hearings shall be closed, and the stewards and judges shall make no public announcement concerning a matter under investigation until the conclusion of the hearing.~~

(6) ~~{(5)}~~ A state steward or a state judge shall conduct the hearing~~in such a manner as~~ to ascertain and determine the substantial rights of the parties involved and shall not be bound by technical rules of procedure and evidence.

(7) ~~{(6)}~~ Testimony shall be given under oath and a record shall be kept by use of an audio recorder or by court reporter's transcript. The party charged with the violation may~~, however,~~ waive the recording and the transcription of the testimony. The stewards or judges shall not be required to receive testimony ~~if the fin cases where their~~ ruling is based solely upon a review of the race replay.

(8) ~~{(7)}~~ If, after the hearing, the stewards or judges find that a statute or an administrative regulation has been violated, they shall promptly issue a written ruling setting forth the:

(a) Full name of every person charged with the violation;

(b) Identification of licensees charged with the violation;

(c) Statute or administrative regulation number and pertinent parts of the statute or administrative regulation violated;

(d) Findings; and

(e) Penalty.

(9) ~~{(8)}~~ Copies of the ruling shall be delivered to:

(a) Each party in interest;

(b) The commission; and

(c) The office of the Association of Racing Commissioners International, and in Standardbred racing, to the United States Trotting Association.

(10) ~~{(9)}~~ A party who is the subject of an order or ruling of the stewards or judges may apply for a commission hearing pursuant to KRS Chapter 13B, except as to:

(a) Determinations of whether a horse or horses in a race shall be disqualified for fouls committed during the race; or

(b) Findings of fact as to matters occurring during and incident to the running of a race.
(11) ~~((10))~~ An application to the commission for review of a stewards' or judges' order or ruling shall be made within ten (10) days after the order or ruling is issued in writing on the "Notice of Appeal," KHRC 9-010-1.

(12) ~~((11))~~ An application to the executive director for a stay of a stewards' or judges' order or ruling shall be made in writing within ten (10) days after the order or ruling is issued on the "Request for Stay Pending Appeal", KHRC 9-010-2.

Section 3. ~~[Section 2.]~~ Frivolous Appeals. The commission may determine that an appeal of a stewards' or judges' order or ruling, or any other administrative appeal to the racing commission by a licensee or other person participating in Kentucky horse racing, is frivolous. An appeal shall be presumed to be frivolous if:

- (1) The applicant seeks review by the commission but fails, without good cause, to appear for proceedings;
- (2) The applicant attends the commission hearing but fails, without good cause, to offer evidence to support the application for review; or
- (3) The appeal is totally lacking in merit and ~~such that it~~ appears to have been taken in bad faith.

Section 4. ~~[Section 3.]~~ Commission Hearings.

- (1) Except ~~if/where~~ precluded by another provision of KRS Chapter 230 or this administrative regulation, commission hearings shall be conducted in accordance with KRS Chapter 13B.
- (2) Copies of final commission orders or rulings related to licensing of individuals shall be forwarded to the office of the Association of Racing Commissioners International, and, in standardbred racing, to the United States Trotting Association.

Section 5. ~~[Section 4.]~~ Appeal from Commission Order. A person or licensee aggrieved by an order or decision of the commission may appeal to the Franklin Circuit Court in accordance with KRS 230.330.

Section 6. ~~[Section 5.]~~ Incorporation by Reference.

- (1) The following material is incorporated by reference:
 - (a) The "Notice of Appeal", KHRC 9-010-1, 11/2018; and
 - (b) The "Request for Stay Pending Appeal", KHRC 9-010-2, 11/2018.
 - (2) This material may be inspected, copied, or obtained, subject to applicable copyright law, at the Kentucky Horse Racing Commission, 4063 Iron Works Parkway, Building B, Lexington, Kentucky 40511, Monday through Friday, 8:00 a.m. to 4:30 p.m. This material is also available on the KHRC Web site at <http://khrc.ky.gov>.
- (45 Ky.R. 2018; 3181; eff. 5-31-2019; 48 Ky.R. 3050, 49 Ky.R. 570; eff. 12-6-2022.)

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