

The 44th Annual Meeting of the



International Stud Book Committee

2019 REPORT FROM ISBC TO ALL APPROVED STUD BOOKS

The 2019 meeting of the International Stud Book Committee was held in London on 1st and 2nd October.

The key issues under discussion at the two-day annual meeting were:

- **manipulation of the heritable genome**
- **new technologies such as cloning**
- **inbreeding, including the role of the ISBC and individual Stud Book Authorities (SBAs)**

Several industry experts attended to speak at the meeting including:

- Dr Madeleine Campbell, Lecturer in Human-Animal Interactions and Ethics at The Royal Veterinary College, UK;
- Tullis Matson, Managing Director of Stallion Services and Cryogenetics, a specialist in equine cloning and reproduction technologies;
- Dr Kanichi Kusano, Chairman of the IFHA Gene-Doping Control Sub-Committee;
- Dr Teruaki Tozaki, Technical Advisor, Laboratory of Racing Chemistry, Japan; and
- Dr Natasha Hamilton, Director of Racing Australia's Equine Genetics Research Centre.

An informal joint-meeting of the ISBC Genetics Sub-Committee and the IFHA's Gene Doping Control Sub-Committee was held following the Technical meeting on October 1st to continue their collaboration. Discussions included the **absolute requirement that SBAs retain their genomic data and for as long as possible.**

All Stud Book Authorities are asked to note the decisions made at the meeting, paying particular attention to the changes made to Articles of the IFHA's *International Agreement for Breeding, Racing and Wagering* (IABRW) in Appendix A.

1. **Applying the ethical principle of justice to gene therapy**

The ISBC considered how SBAs could determine how 'good' or genetic therapy treatment for disabling disorders in racehorses, such as diseases and musculoskeletal disorders, are distinguished from 'bad' gene manipulation – genetic editing for reasons of enhancement

rather than cure – and who decides which disorders could be corrected, and which constitute gene doping.

This is at odds with the ISBC's *Requirements and Guidelines*, and Articles 6 (*Biological Integrity of the Horse*) and 12 (*Definition of a Thoroughbred*) of the IABRW which state that any form of genetic editing is prohibited.

It is recommended that Stud Book Authorities carefully evaluate existing rules, regulations and statutes governing genetic manipulation of animals within their respective countries as they develop policies and Stud Book rules to address threats posed by this technology. In addition, SBAs are advised to consider ethical considerations in respect of the above.

2. Update on progress on the Racing Australia EGRC Gene Doping Detection Programme

The committee heard a progress report regarding efforts to detect evidence of gene editing in horses. A test may be commercially available as early as 2021. Experts reported that detection of gene editing in Thoroughbreds is still very early in the process.

The ISBC agreed that SBAs should start to prepare for screening for gene-editing including consideration of blood collection (where hair is currently collected), SNPs technology and SLAs with laboratories.

3. The Inbreeding Coefficient in Thoroughbreds

The membership of the ISBC continued its monitoring of the loss of genetic diversity that attends closed stud books such as Thoroughbreds. Members and experts presented recent scientific reports regarding inbreeding. The ISBC noted the recommendation of the Chairman of the Welfare and Genetics Sub-Committee to explore an independent, international, collaborative study. The ISBC also noted the US Jockey Club's recent proposal to cap the number of mares covered by stallions and asked the US Jockey Club to maintain its close liaison with members as their proposal continues to mature.

4. Kuwait - Application for Approved Status Accepted

Having inspected the Kuwait Stud Book and having reviewed their Volume One, the AOSBC Regional Reviewers recommended to the ISBC Members to grant the Stud Book Approved status. The ISBC unanimously accepted the AOSBC's proposal, bringing the total number of Approved Stud Books to 68.

5. Pakistan – Emerging - Application for Approved Status

The AOSBC Regional Reviewers attested that the Pakistan Stud Book was deemed to be operating in accordance with the *ISBC Requirements and Guidelines* and a further meeting with the Pakistan Stud Book Keeper will be held at the Asian Racing Conference in February 2020, after which, if all outstanding issues were found to be resolved, the Stud Book may be recommended to the ISBC for approval.

6. Thailand – Emerging

Another inspection visit was carried out by AOSBC Regional Reviewers earlier this year. It was agreed not to put the emerging Thai Stud Book forward for approval until further improvements had been made.

7. Antigua – Emerging

The Stud Book of Antigua continues to be active in progressing towards ISBC approval and had provided key documents including draft Rules and a draft Volume One.

8. St Lucia – Emerging

St Lucia sought support from the ISBC for Special Racing Authority status, in the absence of an Approved Stud Book, to stage races in December and into the 2020 season.

The ISBC supported this application following the US Jockey Club's commitment to assist St Lucia and to guide racing officials with procedures as set out in the *Requirements and Guidelines* to ensure that only Thoroughbreds registered in Stud Books officially recognised by the ISBC are allowed to be imported into St Lucia to compete in races restricted to Thoroughbreds only.

9. Panama - Under Assessment

The Panama Stud Book remains Under Assessment. The ISBC Regional Reviewers at the US Jockey Club are providing training to the new Keeper of the Stud Book. The ISBC sent a reminder to all Approved Stud Books (and to all Racing Authorities via IFHA) reiterating conditions to be applied to Thoroughbreds imported from Panama to ensure their correct ID.

10. Ukraine – Under Assessment

An inspection visit was carried out in July by the ISBC Vice Chairman and one of the six European and African Stud Book Committee (EASBC) Regional Reviewers. The Ukraine Stud Book remains Under Assessment while improvements are monitored over the next 12 months. The Stud Book will be reassessed in 2020.

Stud Book Authorities are reminded of the additional checks that must be carried out on horses imported from Ukraine whilst the Stud Book remains Under Assessment.

11. 2019 ISBC Inspections of OSAF Stud Books – Argentina, Brazil, Chile

ISBC inspections of the Argentinian, Brazilian and Chilean Stud Books were carried out in July 2019. All three were confirmed to be operating in compliance with the ISBC's *Requirements and Guidelines*.

Particular note was made of detection and exclusion of a Thoroughbred embryo transfer in Brazil and measures taken to eliminate the threat of the use of AI in Brazil following an uncorroborated allegation received by the ISBC of AI in Brazil.

12. Stud Book responsibilities for Welfare of Registered Breeding Stock

Work has been done by the ISBC's Sub-Committee in conjunction with the IFHA Horse Welfare Committee. It was agreed that SBAs have a responsibility for the welfare of the Thoroughbreds they are registering. A five-point plan was advanced by the Chairman of the Sub-Committee for consideration by members.

13. Thermo-chips

The ISBC did not support the use of thermo-chips due to the unreliability of temperature data, chip durability and ownership of chip IP (intellectual property).

The ISBC also agreed that it will consider specifying that only one microchip should be inserted unless completely necessary. This will be followed up by the Technical Committee in 2020.

14. Insertion of microchips in Canada

The ISBC reiterated its unanimous opposition to the insertion of microchips into the nasal cavity in Canada. For 2016-19 inclusive, 396 chips have been inserted this way into Thoroughbreds (11% of Thoroughbreds microchipped) and 4 had been exported – 2 to Japan, 1 to Panama and 1 to Ireland. The ISBC position remains that the preferred location for insertion of the microchip is into the left-hand side of the nuchal ligament.

15. SNPs Comparison Test and ISAG

An informal SNP comparison test had again been carried out by the International Society for Animal Genetics (ISAG) this year. The ISBC will monitor this in relation to managing a switch from Micro Satellite (MS) to SNPs. The switch from blood typing to MS was a 15-year transition. It is currently not possible to transfer MS test data to SNPs for like-for-like parentage verification. This could result in some horses having to be parentage verified again with SNPs to ensure their produce can be verified correctly. It was agreed that the ISBC must liaise closely with ISAG, including on its *Requirements and Guidelines*, to ensure awareness within ISAG of Thoroughbred Stud Book rules bearing in mind the relatively small size of the industry in comparison to the work ISAG carries out with farm animals. A comprehensive report was provided on the 37th conference held in Spain in July 2019.

16. Reporting Exemptions – Appendix to the Export Certificate

The ISBC discussed the growing importance of sharing information among SBAs regarding potential administration of prohibited substances and procedures that may be subject to stand down from racing and breeding.

To facilitate sharing of information on administration of prohibited substances and procedures, a standardised template for conveying such information has been formulated. Further information will be circulated to SBAs on this template and its practical application in due course.

17. New Technology Developments – Markings, Vaccination & ID

Presentations were made to the ISBC members on progress made in developing a Markings and Foal Registration App by the NHRA in South Africa and an e-Passport and Vaccination App by Weatherbys. Stud Book Authorities are asked to contact the ISBC Secretary General if they would like further information on these presentations.

18. Changes to IABRW Articles – 12b, 13B, 14, 15 & 23

Stud Books are advised to note the changes to Articles of the IABRW as detailed below and shown in **Appendix A** and make any necessary additions and amendments to their Stud Book Rules and Regulations.

The membership of the ISBC supported the following changes to the IABRW:

- Changes to Articles 12 (Definition of a Thoroughbred) and 13 and (Non-Thoroughbred Register) and the definition of *heritable genome* as *the genetic material of a horse transmissible from the parents to offspring*;
- In Article 14 (Registration of a Name) the requirement for a roman script version of a registered name;
- A reviewed and partly re-written Article 15 (Identification of Horses) **which includes the requirement for SBAs to notify the SBA of origin of the death of a Thoroughbred in their jurisdiction** - *This is also reflected within the Requirements and Guidelines for Gaining and Maintaining Approval as a Thoroughbred Stud Book (clause 10.6)*;
- Proposed changes to Article 23 (Vaccinations)

Articles 12B, 13B, 14, 15 and 23 are shown with changes highlighted and underlined in **Appendix A**.

19. ISBC Genetics & Welfare Committee

The Chairman of the ISBC Sub-Committee reported continued close liaison with the IFHA's Gene Doping Control Sub-Committee (GDCSC), particularly in drafting terminology around gene-doping and the role of Stud Books, as the gatekeepers of the breed, in ensuring exclusion of gene doping at registration. It was agreed the biggest issue to be faced is the application of genomic data and technologies and the members were warned of the dangers of this being progressed as a commercial exercise.

20. Changes to the Requirements and Guidelines for Gaining and Maintaining Approval as a Thoroughbred Stud Book

Cumulative changes to the Requirements and Guidelines for Gaining and Maintaining Approval as a Thoroughbred Stud Book were ratified by ISBC members at the 2019 meeting. All amendments are highlighted and shown in **Appendix B**. A clean copy of the Requirements and Guidelines is also appended to the email.

21. Names of Breeding Stock added to the International List of Protected Names.

The names of 17 broodmares and 7 stallions have been submitted to the IFHA for inclusion in the list of Internationally Protected Names, all being the dams of a minimum of two Group 1 winners and the winner of at least one other Black Type race, or in the case of stallions, the sire of at least 15 individual Group or Grade 1 winners. These were approved by the ISBC:

BROODMARES

ABOVE PERFECTION (USA)
AMERICAN WHISPER (USA)
CESARIO (JPN)
CRYSTAL STAR (GB)
EASY TO IMAGINE (USA)
FUNNY FEERIE (FR)
HALFWAY TO HEAVEN (IRE)

IN CLOVER (GB)
JUST PERFECT (BRZ)
KAPITOL (GER)
LOVES ONLY ME (USA)
OUR TABLE MOUNTAIN (USA)
SECRET OF VICTORIA (SAF)
ST THERESE (AUS)

STARLET'S SISTER (IRE)
SWEET CITY GAL (USA)

VISIONS OF CLARITY (IRE)

STALLIONS

BERNARDINI (USA)
DYNASTY (SAF)
ELUSIVE QUALITY (USA)
NOT FOR SALE (ARG)

ROMAN RULER (USA)
SPEIGHTSTOWN (USA)
TEOFILO (IRE)

APPENDIX A

ARTICLE 12 B – DISQUALIFICATION

- | a. The heritable genome of a prospective or registered Thoroughbred must not be modified in any way at any time, including during its conception, gestation or at any stage thereafter in its existence.

- | b. Where the heritable genome of a prospective or registered Thoroughbred has been modified in any way, that horse:
 - i. ceases to be eligible to be recorded as a Thoroughbred and to have the status of a Thoroughbred; and
 - ii. must be removed from the Thoroughbred Stud Book of the country of its foaling and from any other relevant record.

ARTICLE 13B - DISQUALIFICATION

- a. The heritable genome of a horse recorded in the Non-Thoroughbred Register (or for which an application has been made for acceptance in the Non Thoroughbred Register), must not be modified in any way at any time, including during its conception, gestation or at any stage thereafter in its existence.
- b. Where the heritable genome of a horse recorded in the Non-Thoroughbred Register (or for which an application has been made for acceptance in the Non Thoroughbred Register) has been modified in any way, that horse:
 - i. ceases to be eligible to be recorded on the Non Thoroughbred Register or to be promoted to Thoroughbred status; and
 - ii. where applicable, must be removed from the Non Thoroughbred Register and from any other relevant record.

Article 14 (RACING / BREEDING) - REGISTRATION OF NAME

1 Initial Name Registrations

1.1 The registration of a name for a horse can only be made by or with approval of the competent Authority of its country of birth. In the case of a horse which has been exported unnamed, a subsequent naming application must be made, not directly to the Authority of its country of birth, but through the competent Authority of the country to which the horse has moved, where the Export Certificate is lodged.

1.2 All horse names must use Roman Script or have a Roman Script version registered. Where the name has a meaning, the Roman script version of the name should be the translation of that meaning into a language which uses Roman script (eg, English); where the name has no meaning, the Roman Script version should be a transcription (phonetic approximation) of the name. When a Racing/Stud Book Authority applies to the Authority of a horse's country of birth for the approval of a horse name which is not in Roman Script, the Roman Script version of the name must be included within the application.

(For the avoidance of doubt, where a competent Authority maintains, as a matter of course, both a Roman script and a non-Roman script version of each name, there is no requirement for it to register an additional Roman-script name in another language).

Article 15 (RACING / BREEDING) - IDENTIFICATION OF HORSES

The control of a horse's identity is one of the prime considerations in the operation of racing, breeding and health management. Identity control should be made at the following times in a horse's life:

- Shortly before each race start
- When the horse enters a country from abroad
- At every stage of its breeding operations (covering, registration of foal, etc.)
- Before being sold publicly or privately

The official papers which allow a horse to be identified can be separated into two categories:

1. Export Certificate:

- 1.1 The Export Certificate or Electronic Notification of Export may only be issued by the Approved Stud Book of the country of birth of the horse. The markings certificate and the DNA profile must also be included. It should be sent directly or made available on a website by the exporting authority to the Stud Book Authority of the country to which the horse is exported when the exportation is permanent, or when the period of export exceeds the period for which the clearance notification is valid (see Articles 3) i.e. if it exceeds 9 months in the case of a BCN/GNM or 90 days in the case of an RCN. Subsequent permanent movements are endorsed onto the Export Certificate by the exporting Stud Book Authority.
- 1.2 Export Certificates must only be transmitted between Approved Stud Book Authorities. In the case of Special Racing Authorities, the export certificate can be sent to the Racing Authority. (Note: Special Racing Authority status is granted by the International Stud Book Committee in the case of countries with no breeding industry. Currently, this applies to Hong Kong, Macau, Mauritius and Singapore).
- 1.3 Should the Stud Book Authority of the country of destination not be an Approved Stud Book (see Appendix 8), a stamped "Certified Copy" of the export certificate should be sent and the original Certificate should be retained until asked for by an Approved Stud Book.

N.B. An export certificate which has not been issued by an Approved Stud Book can only be accepted when the issuing stud book conforms with any of the following conditions:

- in the case of Stud Book Authorities which appear in the list of "Stud Books No Longer Operating or Approved":
 1. If the horse being exported was foaled in a year which falls within the dates of Approved Thoroughbred foal crops – see Appendix 8
OR
 2. The horse being exported was originally registered in another Approved Stud Book but the certificate was issued during the time that the stud book was Approved by the ISBC
 - in the case of emerging stud books, it has been issued by the emerging stud book known by the ISBC to be operating in that country – see Appendix 8
 - where applicable, after consulting with the ISBC
- 1.4 An Electronic Notification of Export must be accepted by the Approved Stud Book Authority importing a horse. If, in exceptional cases an original hard copy document is required, this request must be made by the importing Stud Book Authority. The Electronic Notification of Export must be accepted by the Approved Stud Book Authority of the country to which the horse has moved. In the exceptional case where an original document is requested by the importing Stud Book Authority, this fact is to be stated at the time of Notification of Export.

2. Passport / Certificate of Registration:

- 2.1 The Stud Book Authority certifying the Thoroughbred, being the only Authority permitted to issue the original passport/certificate of registration or any subsequent duplicates, must produce a passport/certification of registration (or approved electronic equivalent) which certifies:
 - 2.1.1 the authenticity of the pedigree, the age, sex and colour,
 - 2.1.2 the markings, photographs (if applicable) or other characteristics used to identify the Thoroughbred which should include all permanent identifying markings such as leg markings, face markings and hair whorls and may include other identifying characteristics such as night eyes/chestnuts, brands, tattoos, scars and microchips or other such approved electronic devices,
 - 2.1.3 the parentage of the Thoroughbred based upon typing of genetic factors present in blood, hair and/or other biological samples
 - 2.1.4 the Breeder and,
 - 2.1.5 the Stud Book volume and page number where the Thoroughbred is recorded, or the Stud Book volume where the horse will be recorded in the future, or, if the Stud Book is recorded electronically, where to access the appropriate Stud Book record.
 - 2.1.6 Additional pages for vaccinations and administrative endorsements.
 - 2.1.7 Where microchips are used, they should be ISO 11784/11785 compliant and inserted in the left-hand side of the nuchal ligament.
- 2.2. The document should be printed or displayed in the principal language of the issuing Authority. For passports it is a requirement that the principal information held within the document is also translated into English
- 2.3 The document must always accompany the horse and should only be altered by, or with the express permission of, the issuing Stud Book Authority.
- 2.4 The loss of the document must be notified to the issuing Authority, who is the only party permitted to issue a duplicate copy.
- 2.5 The document of a dead horse should be returned to the relevant Authority of the country in which it died.
- 2.6 A Stud Book Authority notified of the death of a foreign-bred Thoroughbred residing within its jurisdiction should notify the issuing Stud Book Authority of the death.
- 2.7 Stud Book Authorities may use a single colour for their passport covers, or adopt a differentiating colour for each successive foal crop, using the colours listed in the following table:

1991	Beige	2012	Beige
1992	Red	2013	Red
1993	Lime Green	2014	Lime Green
1994	Plum	2015	Plum
1995	Royal Blue	2016	Royal Blue
1996	Grey	2017	Grey
1997	Dark Purple	2018	Dark Purple
1998	Cream	2019	Cream
1999	Mint Green	2020	Mint Green
2000	Bronze	2021	Bronze
2001	Turquoise	2022	Turquoise
2002	Light Brown	2023	Light Brown
2003	Peru	2024	Peru



2004	Dark Green	2025	Dark Green
2005	Red	2026	Red
2006	Navy Blue	2027	Navy Blue
2007	White	2028	White
2008	Brown	2029	Brown
2009	Yellow	2030	Yellow
2010	Purple	2031	Purple
2011	Orange	2032	Orange

3. Horses of Ambiguous Sex

- 3.1 For the purposes of this Article, 'Ambiguous sex' is the term used to describe the situation where the externally visible sexual characteristics of a horse are contradicted by its genetic makeup/internal organs.
- 3.2 When a Stud Book Authority comes by evidence of ambiguity in the sex of a horse, it should:
- Advise its Racing Authority
 - Require the owner to return the horse's passport.
 - Suitably amend the horse's passport to indicate the ambiguity of sex.
 - Whenever relevant, inform the Stud Book Authority which registered the horse as a foal.
- 3.3 When a Racing Authority comes by evidence of ambiguity in the sex of a horse within its jurisdiction, it should:
- Advise its Stud Book Authority
 - Require the horse's owner or trainer (as appropriate) to alert the Racing Authority if they intend to make an entry to race in another country, prior to making such entry.
 - On receipt of such an alert, notify the Racing Authority of the country in which it is intended to race the horse of the relevant facts in its possession as to the ambiguity of the horse's sex.
- 3.4 A Racing Authority may, on the basis of information received as to the ambiguity of a horse's sex, impose whatever restrictions it considers appropriate on its freedom to take part in races, or in specified race types.

Article 23 (RACING / BREEDING) - VACCINATIONS

Vaccination of horses to reduce the risk of their introducing infectious disease as well as protecting them from acquiring disease from the indigenous population is strongly recommended.

Horseracing and Stud Book Authorities (Horse Authorities) should be aware of their National Veterinary Authority's vaccination requirements.

Horse Authorities should give consideration to requiring vaccination against diseases, which are not covered by their national legislation.

Information on vaccinations and vaccination protocols should be available from the Horse Authority. All vaccinations should be given by a registered veterinary surgeon.

A record **should be made** by the administering veterinary surgeon, detailing the date of vaccination, the name and type of the vaccine and the batch number, **and this should be attached to the horse's record, either by recording in the passport or for digital passports this should be captured and stored electronically by the Horse Authority.**

The passport **(or an approved electronic equivalent)** should accompany the horse and be made available to the relevant Authorities on request.

APPENDIX B

CUMULATIVE CHANGES RATIFIED BY ISBC 2019:



Requirements and Guidelines for Gaining and Maintaining Approval as a Thoroughbred Stud Book

For a Thoroughbred Stud Book to be considered to have "Approved" status, the International Stud Book Committee (ISBC) normally requires the following provisions and standards to be met with respect to

- a) the constitution, control and structure of the Stud Book Authority (SBA) and its current administrative systems, procedures and publications

and

- b) the pedigrees of horses registered in the Stud Book.

1. Compliance

- 1.1 Key requirements of all Approved Stud Books in order to be able to sign the Declaration of Compliance:
 - The SBA is recognised and/or supported by the relevant Government body as the sole organisation with responsibility for the recording of Thoroughbred breeding in a specified country or countries [**Section 2.2 of this document**].
 - The SBA can demonstrate a practical degree of independence from breeders and/or their Associations [**Section 2.3**].
 - The SBA is a member of an ISBC Regional Body [**Section 2.6**].
 - The SBA is a signatory to and complies with Articles 3D (and 3B and 3C if appropriate), 4, 12, 13 (if relevant) and 15 of the IFHA's International Agreement on Breeding, Racing and Wagering (IABRW) [**Section 3.1**].
 - The SBA's Rules are published in all Stud Books and supplements, including where published electronically [**5.2 and 5.3**].
 - The SBA contracts with a laboratory which is an institutional Member of the International Society for Animal Genetics (ISAG) and has achieved **Rank 1** in the most recent ISAG Comparison Test, for the undertaking of DNA profiling and parentage validation [**Section 8.1**].

The SBA publishes full details of their annual foal crops, either in a Stud Book volume or supplement, in book form or electronic medium, or alternatively publishes full foal crop details on a website, in adherence to those requirements set out in sections 13.1 and 13.2 [Section 13.1 and 13.2]

- 1.2 Please refer to the Definition of Terms (Appendix I) for the Consequences of Non-Compliance.

2. Constitution, Structure and Control

- 2.1 Control of the Thoroughbred Stud Book must be vested in a central authority (referred to in the following as the Stud Book Authority (SBA))
- 2.2 Where applicable, the SBA must be recognised by the relevant Government body as the single body with responsibility for the recording of Thoroughbred breeding in a specified country or countries.
- 2.3 The SBA must demonstrate a practical degree of independence from breeders and/or their Associations who should not be able to influence or exercise control over the Stud Book.

This requirement is necessary given that a person who is also a breeder may be elected to, or serve as, a Member of a SBA whose responsibilities include the enforcement of registration rules and, from time to time, the making of decisions on cases of individual horses.

Whilst the SBA must show independence from the relevant breed association, it should liaise closely with such organisations.

In order for the integrity of the authority to be maintained a member who has a vested interest in the horse(s) concerned must not be a party to the decision.

A Stud Book Authority must refer to the ISBC any case where it believes the above requirement cannot be achieved.

- 2.4 The SBA must be responsible for the establishment, exercise and review of rules/conditions of entry to the Stud Book.
- 2.5 The SBA's staff must be fully trained in Stud Book procedures, obtaining experience and expertise from other SBAs if necessary.
- 2.6 The SBA must be a member of the Stud Book body in the appropriate ISBC Region as contained within Appendix IV of this document.

3. International Context and liaison

- 3.1 The SBA must be a signatory to the relevant Articles 3D (and 3B and 3C if appropriate), 4, 12, 13 & 15 of the International Agreement on Breeding, Racing and Wagering (IABRW), as published by the International Federation of Horseracing Authorities (IFHA). If the SBA is

also the naming authority it must also be a signatory (inclusive of any qualification) to Article 14. In addition, it is also recommended that SBAs are aware of the requirements laid out in Articles 22, 23 & 24.

- 3.2 The SBA must send delegate(s) to the relevant world region Stud Book Committee meeting and implement policies as directed by the ISBC.
- 3.3 The SBA must ensure that effective communication systems are in place to enable efficient communication with other Stud Book Authorities. Such communications must be monitored and responded to within 2 working days.

4. Thoroughbred Pedigree Qualification

- 4.1 The SBA must comply with the IABRW's Article 12 concerning eligibility to be recorded in a Thoroughbred Stud Book and must clearly publish within its own Conditions of Entry/Rules the principles held therein.
- 4.2 Article 12B of the IABRW should be contained in full within the SBA's Conditions of Entry/Rules wherever possible.

5. Stud Book Rules/Conditions of Entry

- 5.1 These must be clear and comprehensive. Please refer to the "Model Stud Book Rules" held within the ISBC Manual for guidance.
- 5.2 Rules must be published prominently as a separate section in all Stud Books and supplements, and where appropriate electronically, to allow for updating from time to time as necessary.
- 5.3 When relevant, an English and/or French translation must be provided.
- 5.4 Any changes to the Stud Book Rules/Conditions of Entry should be communicated to the designated Regional Reviewer.

6. Registration Systems

6.1 Stallions

- 6.1.1 The SBA must advertise that Artificial Insemination, Embryo Transfer or Transplant, cloning or any other form of genetic manipulation is prohibited.
- 6.1.2 Stallions must be registered initially for breeding at which time the SBA must verify the stallion's identity and obtain a DNA profile. Stallions must have a name registered with the SBA (or the Naming Authority in the case that this is not the SBA) in their country of foaling before registrations can be completed for their progeny.
- 6.1.3 An annual registration service must be provided to enable stallion owners to report coverings and who must be required to provide the following details:

- a) Mare covered, year of birth, pedigree, owner
- b) First and last covering dates
- c) Declarations
 - i. to confirm that Artificial Insemination, Embryo Transfer or Transplant, cloning or any other form of genetic manipulation were not used
 - ii. that the identity of the mare was verified against its ID/Passport
- d) Mares covered abroad must have an official covering certificate or covering record issued by the SBA of the country of covering, duly signed, or the approved computerised equivalent.
- e) The SBA must encourage and allow for the reporting of multiple coverings.
- f) There should be provision for covering details to be returned by a given date, within the covering season.

6.2 Broodmares

- 6.2.1 Broodmares must be registered for breeding, preferably before being covered, at which time the mare owner or SBA should verify the broodmare's identity. Broodmares must have a name registered with the SBA (or the Naming Authority in the case that this is not the SBA) in their country of foaling before registrations can be completed for their progeny.
- 6.2.2 The DNA profile for the broodmare taken at time of registration in the country of birth must be held on file in a format allowing its transmission by the Stud Book of the country of birth to an Approved Stud Book upon request.
- 6.2.3 Breeders must be issued annually with the means to record all broodmare returns.
- 6.2.4 The SBA should maintain a record of the ownership of mares to enable regular communication.

6.3 Foals and non-productive results

- 6.3.1 The SBA must only accept broodmare returns submitted on the official documentation or the approved computerised system by the breeder (i.e. the person recorded as the owner of the mare(s), or the person(s) listed in a registered lease or foal share arrangement), or their authorised agent.
- 6.3.2 The broodmare return must provide for the following to be reported:
 - a) live foals; date of birth, country and, optionally, place of birth, sex, coat colour, provision for notification of twins, name of breeder
 - b) non-productive results; categorisation as follows; barren, slipped, aborted early, dead at birth, died since birth, covered by another breed, not covered.
- 6.3.3 The SBA must require, in addition to the above, receipt of the following to complete a foal registration:
 - a) Covering certificate or covering record (see requirements under 'Stallions'), duly signed, or approved computerised equivalent

- b) Foal identification certificate (see requirements under 'Identification')
- c) Confirmation that the foal was not conceived by AI, embryo transfer or transplant, cloning or other genetic manipulation.
- d) DNA profile/Bloodtype (see requirements under 'DNA Profile/ Bloodtyping')
- e) Where the broodmare has been imported, an export certificate or BCN, as appropriate
- f) Where the broodmare was covered by a stallion standing in another country, an export certificate or BCN, as appropriate, is required to validate that the mare travelled.

6.3.4 Wherever possible, systems should be in place to allow for notification by the breeder to the SBA of the birth of a foal, and this should occur no later than 30 days from birth.

6.3.5 The SBA must only register foalings which have taken place within their geographical area.

6.3.6 Established genetic rules concerning coat colour heritability for all colours must be observed. Cases where the horse can be parentage validated, but the coat colour does not conform with the established genetic rules, should be brought to the attention of the Stud Book's Regional Reviewer before registration.

7. Identification

7.1 The SBA must require the completion of a Markings Certificate, completed by a suitably qualified person (i.e. a Veterinary Surgeon, or a trained technician/inspector of the Stud Book) as a condition of foal registration.

7.2 Markings Certificates of foals should be undertaken whilst still under their dams.

7.3 A minimum number of identifying features (normally five individual natural markings, usually to include three hair whorls) must be required.

7.4 Markings Certificates must incorporate both narrative and graphic descriptions.

7.5 Markings Certificates submitted under requirement 7.1 above must be checked by the SBA for accuracy and completeness and returned for correction (by a suitably qualified person) where necessary.

7.6 Narrative descriptions must be typed or completed in block capitals. Descriptions must be accurate, clear and detailed.

7.7 Guidance on completion of Markings Certificates should be issued to veterinary surgeons, breeders, Stud Book inspectors and technicians, if required.

7.8 Similar requirements to the above must apply when Markings Certificates are completed for broodmares, stallions and exported horses.

7.9 The SBA must have provision for the recording of acquired and other amendments to markings.

- 7.10 It is recommended that a microchip is inserted at the time of the foal's identification for registration. ISBC's recommended location for the microchip is in the nuchal ligament, on the left-hand side of the neck.
- 7.11 Wherever microchips are used these should be ISO 11784/11785 compliant.
- 7.12 For horses which are microchipped prior to importation (during pre-export quarantine) the microchip number must be recorded on both the Passport/Certificate of Registration and the Export Certificate by the SBA of the country of departure, to ensure traceability.
- 7.13 Unless deemed necessary, microchip and UELN numbers should not be made public **i.e. published within a printed Stud Book or on a non-secure website**. Stud Books which do allow public access to microchip or UELN numbers must ensure that safeguards are in place against any fraudulent use of microchip and/or UELN numbers.

8. DNA Profiling/Bloodtyping

- 8.1 The SBA must contract with a laboratory (either in their own country or abroad) which is a paid up, institutional Member of ISAG, for the undertaking of DNA profiling and parentage validation.
- 8.2 The laboratory must perform the full repertoire of tests laid down on the International Certificates for DNA profiling, all of which have been recognised by the ISBC.
- 8.3 The laboratory must participate in every ISAG comparison test and achieve a ranking of 1. In the event that an SBA's designated laboratory is found to have failed to attain ISAG Rank 1 in the ISAG comparison test, the case must be immediately referred to the ISBC Genetics Sub-Committee via the ISBC Secretary General to agree remedial action.
- 8.4 The SBA should satisfy itself on a regular basis that its laboratory is performing to ISBC/ISAG standards and provides an efficient service.
- 8.5 All breeding stock and foals must be DNA profiled/bloodtyped and, in the case of foals born during or after 2002, be parentage tested as a condition of registration.
- 8.6 Horses must be identified at the time of being DNA profiled/bloodtyped.
- 8.7 The SBA must receive formal, confirmation from its laboratory to state where there is no evidence to doubt the reported pedigree of the horse tested.
- 8.8 All DNA profiles or bloodtypes held on file must remain the property of the SBA and must not be made publicly available.
- 8.9 Upon receipt of a reasonable request for a bloodtype or DNA profile from another SBA, the SBA holding the required type/profile must forward this immediately to the importing Stud Book. The type/profile should be the one taken at registration in the country of birth.
- 8.10 The bloodtype or DNA taken for the registration at birth must accompany the BCN or Export Certificate when a horse is exported.

- 8.11 The SBA must only parentage test foals; retrospective parentage testing must not be carried out.

9. Identity Documentation: Passports/Certificates of Registration

- 9.1 The SBA must issue to the breeder a Passport/Certificate of Registration on completion of registration of a foal. This document must remain with the animal for its entire life.
- 9.2 The Passport/Certificate of Registration must provide the following details:
- a) Details of the foal's pedigree
 - b) Any microchips inserted
 - c) Confirmation it has been parentage verified
 - d) the Stud Book Volume (and page number if available) or online reference if applicable
 - e) markings certificate
 - f) space for vaccinations, recording of changes of ownership, export and inspection details
 - g) a list of relevant Rules/Conditions of Entry

If so wishing, the Authority publishing the passport may add photographs of the horse. When a passport is published using characters other than Latin, a translation of the terms used to describe the colour and sex into either French or English must be included.

- 9.3 Provision must be made in the Rules/Conditions of Entry requiring the Passport/Certificate of Registration holder to check the identity of the animal in their possession, and in particular, upon first receiving the horse, before covering, export or consignment to sales.
- 9.4 The SBA must provide for the issue of a duplicate Passport/Certificate of Registration, given certain assurances and checks that the original has been lost or accidentally damaged.
- 9.5 An application for a duplicate Passport/Certificate of Registration should include a verification of the horse's identity.
- 9.6 An application for a duplicate Passport/Certificate of Registration must be directed initially through the SBA of the country in which the horse is currently residing. The duplicate Passport/Certificate of Registration application must only be processed by the SBA which issued the original Passport/Certificate of Registration.
- 9.7 Where a Racing Authority provides for the elective retirement of horses from racing, notice of such retirement should be added to the front page of the Passport/ Certificate of Registration.

10. Imports

- 10.1 A record must be maintained of all imported horses.

- 10.2 For any horse which is imported, the SBA must require the receipt of a BCN or Export Certificate, unless it has travelled on an RCN or GNM (See IABRW Articles 3A and 3C). If appropriate, the SBA must inform its local Racing Authority when the Export certificate has been received for a horse imported for racing.
- 10.3 The SBA should require the receipt of a current Markings Certificate taken in its own country for checking against the passport/Export Certificate issued by the SBA of the country of foaling, before registration with the importing SBA.
- 10.4 Should a discrepancy be identified as a result of the above check, the SBA must have provision for advising the SBA of the country of foaling.
- 10.5 Should a Passport/Certificate of Registration or Export Certificate be lost or damaged, the issuing authority must be contacted to issue a duplicate.
- 10.6 When notified of the death of a foreign-bred Thoroughbred residing within their jurisdiction, the Stud Book Authority should notify the issuing authority of the death within no more than one year of the notification being received.

11. Exports

- 11.1 The SBA must maintain a record of all exported horses.
- 11.2 Permanent Export:
- 11.2.1 The SBA must issue an Export Certificate or endorse a Certificate issued previously when the exportation is 'permanent' (e.g. in excess of nine months).
- 11.2.2 Prior to Export the SBA may request a current Markings Certificate of the horse for comparison with the certificate received at registration. If, by prior agreement between SBA's a new Markings Certificate is not required to be provided on export, a confirmation of ID by a veterinarian must be submitted with the export application. This must include signed statement that markings held in the Passport/Certificate of Registration are accurate and that the microchip has been read.
- 11.2.3 The Export Certificate must show the following:
- a) Horse information, i.e. colour, sex, year of foal, sire & dam
 - b) Date of shipment
 - c) Date of issue of certificate
 - d) Consignee
 - e) Confirmation as to whether the horse is free from any specific restriction (if this information is available to the SBA).
 - f) Confirmation as to whether the horse is DNA typed/bloodtyped, and if it has been parentage verified.
 - g) A set of veterinary markings
 - h) The DNA Profile or bloodtype of the horse taken at registration in the country of birth
 - i) Notice of elective retirement (if applicable)

- 11.2.4 The Export Certificate must only be sent to the Stud Book Authority of the importing country, or, if applicable, to the Racing Authorities of Hong Kong, Macau, Mauritius and Singapore (designated as Special Racing Authorities by the ISBC).
- 11.3 Temporary Export:
- 11.3.1 The SBA must issue a BCN when the exportation is 'temporary' (e.g. for a period of less than nine months) and the horse is travelling for breeding purposes. The format of the BCN must comply with the template set out in Appendix 1-D of the IABRW.
- 11.3.2 Where the SBA is the issuing authority for GNMs, the SBA must issue a GNM when the exportation is 'temporary' (e.g. for a period of less than nine months) and the horse is travelling for purposes other than racing or breeding. The format of the GNM must comply with the template set out in Appendix 1-E of the IABRW.
- 11.4 Where a mare has been exported in foal, and the covering details have been lodged with the exporting SBA with an electronic Covering Certificate, the exporting SBA will notify the importing SBA of all required information including any declarations pertaining to prohibited breeding practices. This should be accepted by the importing Stud Book Authority.
- 11.5 Where an Erratum has been published which includes a horse which has been exported, the Stud Book Authority responsible must inform the Stud Book Authority of the country to which the horse has been exported.

12. Names (Where the SBA is also the Naming Authority)

- 12.1 For an imported, unnamed horse the SBA must check the availability of names requested with the naming authority of the horse's country of foaling. The registered name must have a suffix added to it, showing the country of foaling.
- 12.2 The SBA must observe the internationally agreed list of protected names if a signatory to Article 14 of the IABRW
- 12.3 The SBA, if the naming authority, must satisfy itself as to the identity of the horse before registering a name.
- 12.4 The name must be endorsed into the horse's ID/Passport and, if applicable, the Export Certificate. An importing country may, in the passport, transpose the name alongside the original name using the local script if required.

12.5 SBA's should note that changing the names of horses which have already raced or bred is liable to cause confusion in the administration of racing and breeding, and changes to names of horses which have already raced or bred should not be made unless considered necessary, for example, for cultural reasons. Please refer to Article 14 of the IABRW.

13. Publications

- 13.1 The SBA must publish a Stud Book or make available on the Internet a Stud Book website, which contains a comprehensive record of Thoroughbred breeding activity and the Rules/Conditions of Entry of the Stud Book. Publications need not be in printed book form, but must be easily accessible by other Approved Stud Books. Steps must be taken by SBA's to ensure that foal crop information remains available in the event that the electronic record is not accessible. The period between full Stud Book publications (if applicable) must not be in excess of five years.
- 13.2 In intervening years if the SBA does not maintain a web site then it is mandatory that they publish annual supplements to the Stud Book, no later than either the 31st July of the yearling year for Northern Hemisphere Stud Books or 31st December of the yearling year for Southern Hemisphere Stud Books. These records must contain the details set out in Appendix IIB and must be submitted to the designated Regional Reviewer no later than April 30th of the yearling year for Northern Hemisphere Stud Books or 30th September of the yearling year for Southern Hemisphere Stud Books.
- 13.3 All publications must include addenda and errata sections for notification of changes or corrections to breeding records.
- 13.4 Country codes, as defined in Appendix 2 of the IABRW, must be shown for all imported horses.
- 13.5 For the results of matings of Non Thoroughbred breed stock a separate Register must be maintained. (This Register or section must be administered to the same standard as the Thoroughbred Stud Book and comply with Article 13 of the IABRW). Rules for the Non Thoroughbred section must be physically separate from the Thoroughbred section. Normally, rules for the Thoroughbred section will be at the front of the Stud Book with the rules for Non Thoroughbreds coming before the Non Thoroughbred results.
- 13.6 The Stud Book or, where appropriate, electronic publication thereof, must contain the sections set out in Appendix IIA of this document.
- 13.7 In the event that changes are made to a Stud Book's Rules/Conditions of Entry, notice of those changes should be highlighted to the designated Regional Reviewer at the time of submission of a new foal crop publication/full Stud Book volume.

14. Pedigree Checks at the time of Approval or Inspection

- 14.1 The SBA must reveal to the inspecting Regional Reviewer any pedigree problems, (horses in their Stud Book which they are aware do not appear to meet the definition of Thoroughbred), for consideration and decision by the ISBC
- 14.2 The Regional Reviewer must arrange for a complete check of relevant pedigrees or, if not deemed necessary, provide an explanation to the ISBC as to why a sample check was sufficient. The check will cover the following:-
- 14.2.1 Tracing of each selected horse's pedigree to establish whether it traces along all lines of pedigree to horses which are themselves designated as Thoroughbred.

- 14.2.2 Establishing foal references for each relevant ancestor in the horse's pedigree. Foal references for horses recorded on a website need only show the site name and type of reference e.g. American Stud Book (electronic).
- 14.2.3 Cross referencing of export information between Stud Books to ensure that apparent movements of horses from one country to another are substantiated by the Stud Books of each country.
- 14.3 A Stud Book Authority wishing to include new lines in its book must submit these to the Reviewer for inspection. The Reviewer will then notify the ISBC annual meeting of their recommendation for Approval or otherwise.

15. Biological Samples: Recommendations for Stud Books

- 15.1 Ownership of samples – the ISBC recommendation is to entrust the ownership of all samples to the Stud Books through the Stud Book Rules and, if required/requested under the constraints of domestic rules and regulations of individual jurisdictions, attested by contracts with the breeders' association and/or the laboratory. It should also be noted that if the Stud Book owns the sample, they also own the data derived from it.
- 15.2 Retention of samples – There is no limit to the amount of time that biological samples should be kept. The ISBC recommendation is that Stud Books retain biological samples indefinitely.
- 15.3 Destruction of samples – the ISBC recommends that samples are not destroyed and are retained indefinitely.
- 15.4 Use of samples - the ISBC recommendation for use of samples is only for identity, parentage verification and heritable genome screening carried out by the Stud Book and/or the Racing Authority. While it should be the aim of every Stud Book to secure ownership of all samples, use of samples other than for identity, parentage verification and heritable genome screening might be constrained by domestic rules and regulations of individual jurisdictions, in which case formal approval might be required by the Stud Book Authority from third parties, namely from the breeders' association, the breeder and/or the owner of the horse at the time of analysis, for research or evaluation. If this is the case, a code of practice setting out the allowed uses of the sample should be established with the third party.
- 15.5 Approved Laboratory - the ISBC recommends that the Stud Book Authority should check on an annual basis that the laboratory is performing to ISBC/ISAG standards. The submission of biennial ISAG HCT Certificates to the ISBC Secretariat should be strengthened further with a stepped programme of sample exchange programmes in each ISBC region, where no equivalent exists, to test each laboratory's competency. The ISBC also recommends, in the absence of a contract/agreement between the Stud Book and the laboratory, an Approved

Stud Book introduces a contract/agreement, which sets out clear terms for all
aforementioned items.

15.6 Sample Bank - the ISBC recommends that a contract between the Stud Book Authority and
the sample bank should confirm ownership of samples, the condition samples are kept in,
retention period and destruction of samples.

APPENDIX I - Definition of Terms

APPROVED STUD BOOKS

An **Approved Stud Book** is one which the International Stud Book Committee recognise as operating to the highest standard and meeting in full the Key Requirements set out in the *Requirements and Guidelines*. Only horses recorded at birth by an Approved Stud Book are of Thoroughbred status. The origins, pedigree and identity of all horses recorded in an Approved Stud Book have exceptional status, in that they are without question eligible to race under the Rules of all Racing Authorities worldwide and are eligible to be entered for breeding purposes in all Approved Stud Books.

Approved Stud Books are those listed as such within Appendix 8 of the IFHA's International Agreement on Breeding, Racing and Wagering (IABRW).

BCN

A BCN refers to a "Breeding Clearance Notification".

BIOLOGICAL SAMPLE

A biological specimen taken from a horse including but not limited to blood, hair, urine, sperm, skin, tissue, bone, teeth.

COMPLIANCE INSPECTION VISITS

ISBC has instituted a programme of mandatory Compliance Inspections to be carried out by the Compliance Liaison Director. The purpose of these inspections is to ensure that the Stud Book is operating in full Compliance with the *Requirements and Guidelines*.

Failure to agree a date for such an Inspection Visit within a reasonable time may result in a Stud Book being placed **Under Assessment**.

Regional Reviewers may also be required to carry out Inspection Visits in the normal course of their duties. This would ordinarily be at the cost of the Stud Book to be inspected.

Newly Approved Stud Books will be subject to a further Inspection visit after 1 – 2 years, as agreed with the Regional Body.

CONSEQUENCES OF NON-COMPLIANCE

In the event of Compliance issues being discovered at any stage during the course of an Inspection visit or review of processes by the Compliance Liaison Director/Regional Reviewer, the procedure set out below will be followed:

- 1) The Compliance Liaison Director or Regional Reviewer will advise the ISBC Secretariat (and the Compliance Liaison Director/Regional Reviewer, as applicable) of their findings and will recommend that the Stud Book is placed **Under Assessment**. A period of between 6 and 12 months will be proposed by the Compliance Liaison Director/Regional Reviewer for resolution of the Compliance issues.
- 2) The ISBC Secretary General will notify the Regional Body and all ISBC Members of the recommendation as above and ask for any objections to be communicated within 3 days of the notification. If no objections are received the ISBC Secretary General will notify the Stud Book in question that they have been placed Under Assessment and the time period that has been set for reinstatement to full Approved status.
- 3) The ISBC Secretary General will notify all Approved Stud Books and all Racing Authorities via IFHA that the Stud Book has been placed Under Assessment.
- 4) The list of Approved Stud Books on the ISBC and IFHA websites will immediately be updated.
- 5) The Regional Body will work with the Stud Book Under Assessment towards a resolution.
- 6) If the Compliance issues are not resolved after this period of between 6 and 12 months (as determined by the Compliance Liaison Director/Regional Reviewer), the Stud Book Under Assessment may, with the agreement of ISBC Members, be removed from the list of Approved Stud Books and may be placed in the list of **Stud Books Not Currently Operating or Approved** (with dates of Thoroughbred foal crops appended).
- 7) Any request from such a Stud Book for reinstatement to the list of **Approved Stud Books** in the future will be treated as a fresh application, with the consequent need for at least one inspection visit at the cost of the Stud Book.
- 8) Two copies of the Declaration of Compliance must be signed at the conclusion of a successful Inspection visit (or, with the approval of ISBC, a **Remote Inspection**). One copy of the newly signed Declaration of Compliance must be kept on file by the Stud Book and one copy must be returned to the ISBC Secretariat.
- 9) Stud Books exiting a period Under Assessment will be subject to a further Inspection visit after 1 – 2 years, as agreed with the Regional Body.

Note

'6 months' shall mean a period ending on the day before the equivalent date six months hence.
'12 months' shall mean a period ending on the day before the equivalent date in the following year.

DECLARATION OF COMPLIANCE

The **Declaration of Compliance** is compiled by and agreed by the International Stud Book Committee and in order for a Thoroughbred Stud Book to hold Approved status, must be signed as required by an Authorised person on behalf of such Stud Book. This certifies that the Stud Book is being operated in accordance with the Key Requirements set out in section 1 of the *Requirements and Guidelines*.

A **Declaration of Compliance** will have a maximum period of validity of three years.

EMERGING STUD BOOKS

An **Emerging Stud Book** is an organisation or individual known to the International Stud Book Committee that has expressed a wish to work towards Approved status and to register Thoroughbred horses in their geographical area.

FINANCIAL VIABILITY

In respect of Emerging Stud Books working towards ISBC Approval, and those Stud Books exiting the “Not Currently Operating or Approved” category, it is important to ensure that the Stud Book is financially viable and capable of maintaining Stud Book operations to the standards required by ISBC, without interruption.

Therefore, in order to meet the operational standards required of an Approved Stud Book the Stud Book in question should be able to confirm or demonstrate that they are capable of:

- Sending a representative (or representatives) to attend the annual/biennial meeting of the relevant Regional Stud Book organisation, if applicable, or are represented via conference or video call
- Hosting a Stud Book inspection visit (if deemed necessary) at the cost of the Stud Book, providing travel and accommodation for the Reviewer(s)
- Providing sufficient resources to ensure the continuation of Stud Book services in the event that the person carrying out the majority of Stud Book registrations ceases their work

In the event that a substantiation of the financial viability of the Stud Book Authority is deemed necessary by ISBC members at the time of application for the granting of or reinstatement of Approved status, a financial guarantee (in writing) can be provided by another organisation which is independent from the Stud Book Authority. This organisation must be one which provides for the Key Requirement as set out in 1.1, and ensures that a “practical degree of independence from breeders and/or their Associations” is maintained.

A guarantee of financial support provided by another organisation which is independent from the Stud Book Authority will be subject to acceptance by ISBC.

GNM

A GNM refers to a “General Notification of Movement”.

IABRW

Refers to the IFHA’s International Agreement on Breeding, Racing and Wagering (IABRW). A current version of the IABRW can be found at www.ifhaonline.org

RCN

An RCN refers to a “Racing Clearance Notification” – see Article 3A of the IABRW.

REGIONAL BODY

A Regional Body is the organisation recognised by ISBC with responsibility for the Approved and Emerging Stud Books within a specific geographical area.

ISBC recognised Regional Bodies and their contact details are as set out within Appendix IV to the *Requirements and Guidelines*.

REGIONAL REVIEWERS

Regional Reviewers are those representatives designated by the Regional Body to supervise and assist the **Approved and Emerging** Stud Books within their Region. Their duties are as set out in the *Responsibilities of the Regional Reviewers* document.

REMOTE INSPECTIONS

In exceptional circumstances, and where a physical Stud Book Inspection Visit is not possible for reasons of safety and/or practicality, ISBC may give permission to conduct a remote inspection by electronic exchange of documentation and photographic or video evidence.

REQUIREMENTS AND GUIDELINES FOR GAINING AND MAINTAINING APPROVAL AS A THOROUGHBRED STUD BOOK

The Requirements and Guidelines for Gaining and Maintaining Approval as a Thoroughbred Stud Book (*Requirements and Guidelines*) is a document which sets out the standard of processes and procedures expected of all **Approved Stud Books** as agreed by the Members of the International Stud Book Committee (ISBC).

STUD BOOKS NOT CURRENTLY OPERATING OR APPROVED

Where a Stud Book is not compliant with the *Requirements and Guidelines*, and the procedures set out under the Consequences of Non Compliance have been completed but without the Stud Book being able to achieve compliance, it will be placed in the list of **Stud Books Not Currently Operating or Approved**, together with an indication of the foal crops recorded while the Stud Book had Approved status. Horses foaled during the stated period will continue to have Thoroughbred status.

At the discretion of the Regional Reviewer, an Approved Stud Book in a country in which no Thoroughbreds have been produced for a period covering at least three breeding seasons may also be placed in the list of Stud Books Not Currently Operating or Approved.

In order for a Stud Book to regain Approved status, it will be necessary to satisfy the Regional Reviewer that all systems and procedures are fully compliant with the Key Requirements set out in section 1 of the *Requirements and Guidelines*. In this respect, they will be treated in exactly the same way as a newly emerging Stud Book which seeks Approval. One or more inspection visits at the cost of the Stud Book will be necessary. The granting of Approved status will subsequently

require the unanimous agreement of ISBC, based upon a detailed report from the Regional Body and a freshly signed Declaration of Compliance.

STUD BOOKS UNDER ASSESSMENT

The consequences of a Stud Book being **Under Assessment** is that the following would apply to any horse registered as a foal by the Stud Book and then exported from this Stud Book from the day of that Stud Book becoming Under Assessment until the day it is restored to Approved status or added to the list of **Stud Books Not Currently Operating or Approved**:

- 1) The Approved Stud Book of the importing country must notify the relevant Regional Body of the presence of such imported horse
- 2) The Approved Stud Book of the importing country must require from the Stud Book of birth evidence sufficient to satisfy themselves that the horse had been registered in every respect in full compliance with the Requirements and Guidelines.

This would include:

- Sight of all of the registration documents, including export certificates where appropriate
- The carrying out of a full pedigree check
- The carrying out of a fresh parentage test at the cost of the applicant

- 3) The importing country will inform the Stud Book of birth and the Regional Body of the outcome of this re-validation.

A Stud Book will need the unanimous agreement of ISBC, based upon a detailed report including an inspection visit (or, with the approval of ISBC, a remote inspection) from the Regional Body and a freshly signed Declaration of Compliance, in order to be restored to the list of Approved Stud Books from the Under Assessment list.

APPENDIX II – Minimum Contents of Stud Book Publications

A. Minimum contents of a Thoroughbred Stud Book

The Stud Book must contain the following sections:-

1. **Rules and regulations:** to appear at the front of Stud Book
2. **An index of horses appearing;** the **index** must include all broodmares and named foals, and exported horses.
3. **A main section listing the results of all registered Thoroughbred mares.**

The **main section** must include the following:-

- a) For imported mares appearing for the first time, (whose foaling was not recorded in an "Approved" Stud Book) an extended pedigree which traces in the distaff line to a mare registered in an "Approved" Stud Book. The Stud Book may also publish the last volume/page where the mare appeared if she has bred previously, including if she appeared in another Approved Stud Book.
 - b) For other mares a reference to a previous Volume.
 - c) Full breeding results.
 - d) For live foals; date of birth, coat colour, sex, breeder. Country of foaling reference if Stud Book covers more than one country.
 - e) For non-productive results; categorisation as follows: - barren, slipped, aborted early, dead (at birth), died since birth, covered by Non Thoroughbred horse, not covered.
 - f) Details of exportation of the mare and her foals if this occurred during the relevant period covered by that publication.
 - g) Notification (optional) of death of mares and mares which have left stud.
4. **Lists of exported horses.** A separate list of all horses exported during the period covered by the publication, including those listed in the main section. The country of destination for each exported horse must be shown.
 5. **Lists of imported stallions.** The list of **imported** stallions to include: - year of foaling, sire/dam as minimum pedigree, country of import, year of import, foaling reference.
 6. **Lists of names for horses appearing un-named in previous Volumes.** The list of names to include reference to volume/page where horse appeared as a foal
 7. **Addenda and Errata.** The **Addenda and Errata** to include all late returned breeding results and all corrections to breeding results.
 8. **List of Stallions with Progeny in the Volume.** This need not include a list of the progeny.
 9. **Summary statistics.**
 10. **Other sections such as broodmares under their sires are optional.**

*All Stud Books which use a script which is not Roman must, for all horse names, publish alongside the original name the Roman transliteration.

B. Minimum contents of an Annual Supplement to a Thoroughbred Stud Book

The Supplement must contain the following sections:-

1. **Rules and regulations:** to appear at the front of Supplement
2. **A main section listing the foals born in the relevant foaling season.**

The **main section** must include the following:-

- a) Name of dam
 - b) Name of sire
 - c) Date of birth, coat colour, sex, breeder. Country of foaling reference if Stud Book covers more than one country.
3. **Addenda and Errata.** The **Addenda and Errata** to include all late returned breeding results and all corrections to breeding results.
 4. **Summary statistics.**

*All Supplements which use a script which is not Roman must, for all horse names, publish alongside the original name the Roman transliteration.

APPENDIX III - Minimum Contents of a Thoroughbred Passport

The Passport must contain the following information:-

- a. Foal's pedigree including damsire
- b. Date of birth
- c. Name (if present)
- d. Colour and sex (to include a translation into English or French where the Stud Book of origin prints its passports using characters other than those used in Latin text)
- e. Country of Birth
- f. Breeder name
- g. Microchip number (if applicable)
- h. Stud Book Reference
- i. Passport Number and/or Life Number
- j. Details of how the horse has been parentage verified
- k. An up to date set of markings
- l. A record of vaccinations **page**
- m. A page for endorsement of identity by new owners or trainers
- n. A page for customs stamping
- ~~n. A record of export movement~~
- n. A page for customs stamping**
- o. Pages for recording medicinal treatment**
- p. A page for recording ownership**
- ~~— A certificate of origin page~~
- ~~o-q. A laboratory health test page~~
- p-r. Postal address and communication details of the Issuing Authority**

The text should be in the local language but, for the purposes of identification, the **name, colour, and sex, sire and dam** should be translated into either English or French if the Authority issuing the passport uses characters other than those considered to be Latin script.

APPENDIX IV - ISBC Recognised Regional Bodies and Contact Details

ASIAN AND OCEANIAN STUD BOOK COMMITTEE (AOSBC)

Dr Kyo Shimizu
Secretary General
Japan Association for International Racing and Stud Book
4-5-4 Shimbashi
Minato-ku
Tokyo 105, 0004
Japan
Tel. No. 00 813 3434 5315
Fax No. 00 813 3432 4668
E-Mail Address: asbc-int@jairs.jp

Ms Jacqueline Stewart
Keeper of the Australian Stud Book
Locked Bag 70
Randwick
N.S.W. 2031
Australia
Tel. No. 00 612 8072 1900
Fax No. 00 612 8072 1999

E-Mail Address: jacqueline.stewart@racingaustralia.horse

Ms Julie Walker
Keeper of the New Zealand Stud Book and Registration
Manager
PO Box 38 386
Wellington Mail Centre
New Zealand
Tel. No. +64-4 -576 6264
Fax No. +64-4 -568 8866

E-Mail Address: julie.walker@nzracing.co.nz

EUROPEAN AND AFRICAN STUD BOOK COMMITTEE (EASBC)

Mrs Abbey Cochrane
EASBC Secretary General
Weatherbys
Sanders Rd
Wellingborough
Northants, NN8 4BX
England
Tel. No. 0044 1933 440077
Fax No. 0044 1933 304758
E-Mail Address: easbc@weatherbys.co.uk

NORTHERN AMERICA AND THE CARIBBEAN STUD BOOK COMMITTEE

Mr Matt Iuliano
Executive Vice-President & Executive Director
The Jockey Club
821 Corporate Drive
Lexington
Kentucky, USA
40503-2794
Tel. No. 001 859 224 2700
Fax No. 001 859 224 2710
E-Mail Address: miuliano@jockeyclub.com

OSAF STUD BOOK COMMITTEE (INCLUDING CENTRAL AMERICA)

Ms Silvina Korembli
O.S.A.F. Executive Secretary
Rivadavia 323, 1_A
San Isidro
Prov. de Buenos Aires
Argentina
Tel. No. (+5411) 4743-4012 / 19, ext. 1318
E-Mail Address: skorembli@osafweb.com.ar