



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. Appointment of a new Stud Book Registrar or Keeper may trigger an inspection visit (online or in-person) by the relevant Regional Reviewer, if deemed 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 SBA's 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. 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
 - b) Owner (optional)
 - c) First and last covering dates
 - d) 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
- e) 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.
 - f) The SBA must encourage and allow for the reporting of multiple coverings.
 - g) 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 (the "Markings 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 (see requirements under 'DNA Profile')
 - 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 Veterinarian, 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 Veterinarians, 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 Unless completely necessary, only one microchip should be inserted into the horse.
- 7.13 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.
- 7.14 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

- 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 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.
- 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 held on file must remain the property of the SBA and may only be released to a recognised Stud Book following a written and justified request. DNA profiles must not be made available to private persons such as breeders or owners.
- 8.9 Upon receipt of a reasonable request for a 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 DNA profile 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 (Roman), a translation of the terms used to describe the colour and sex into either French or English must be included. (See Appendix III – Minimum Contents of a Thoroughbred Passport).

- 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 ensure that comprehensive identity checks are undertaken when a horse is imported, including a comparison of the horse's markings against those in the passport/identity document/Export Certificate issued by the SBA of the country of foaling.
- 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 or a confirmation of ID by a veterinarian submitted with the export application.
 - 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, and if it has been parentage verified.
 - g) A set of veterinary markings
 - h) The DNA Profile 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) (See Article 14 of the IABRW)

- 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 SBA must submit the biennial ISAG HCT Certificate to the ISBC Secretariat. The ISBC 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 the processing of samples, turnaround times and the submission of the ISAG certificate.

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

16. Dispute Resolution: Recommendations for Stud Books

- 16.1 Complaints/Appeal Process - In the first instance, any complaints should be addressed to the Keeper of the Stud Book, who should respond timely when practical with an assessment of the complaint and a decision.
- 16.2 If an appeal is subsequently lodged against the decision of the Keeper, the complainant may be provided with the details of, and directed to, the governing board or committee of the Stud Book for final disposition of the matter.

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" – see Article 3B of the IABRW.

BIOLOGICAL SAMPLE

A biological specimen taken from a horse including but not limited to blood, hair, urine, semen, 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 ISBC Secretariat/Regional Reviewer, the procedure set out below will be followed:

- 1) The Regional Reviewer will advise the ISBC Secretariat or vice versa, 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 ISBC Secretariat/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 ISBC Secretariat/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” – see Article 3C of the IABRW.

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 all mares: Name including suffix (if applicable), colour, year of birth, name of the breeder, country of import (if applicable), pedigree (at least sire, dam, dam sire) and stud book reference (foaling reference or if applicable the last volume/page where the mare appeared if she has bred previously, including if she appeared in another Approved Stud Book).
 - b) For all mares in an emerging Stud Book: In addition to the information mentioned above, an extended pedigree which traces in the distaff line to a mare registered in an Approved Stud Book.
 - 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. **Addenda and Errata.** The **Addenda and Errata** to include all late returned breeding results and all corrections to breeding results.
 7. **List of Stallions with Progeny in the Volume.** This need not include a list of the progeny.
 8. **Summary statistics.**
 - 9.

The Stud Book may also contain the following sections:

1. **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.
2. Broodmares under their sires.

*All Stud Books which use a script which is not Latin (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 Latin (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
- o. Pages for recording medicinal treatment
- p. A page for recording ownership
- q. A laboratory health test page
- 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, 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 (Roman) script.

APPENDIX IV - ISBC Recognised Regional Bodies and Contact Details

ASIAN AND OCEANIAN STUD BOOK COMMITTEE (AOSBC)

Mr Kiyofumi Suzuki, Registration Department
Mr Ryo Tanigawa, Racing & Information Department
Japan Association for International Racing and Stud Book
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Fax No. 00 813 3432 4668
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Ms Jacqueline Stewart
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Mr Satish R. Iyer
Keeper & Registrar
Indian Stud Book
c/o Royal Westerns India Turf Club Ltd
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Email Address: registrar@indianstudbook.com

EUROPEAN AND AFRICAN STUD BOOK COMMITTEE (EASBC)

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EASBC Secretary General
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NORTHERN AMERICA AND THE CARIBBEAN STUD BOOK COMMITTEE

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OSAF STUD BOOK COMMITTEE (INCLUDING CENTRAL AMERICA)

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