



Oregon Racing Commission  
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**COMMISSION MEETING AGENDA**  
**Thursday, February 19<sup>th</sup>, 2026**  
**1:30 p.m.**

The Oregon Racing Commission will meet at **1:30 pm on Thursday, February 19, 2026.** The meeting will be held remotely via Microsoft Teams. You may join the meeting by attending the meeting in person, clicking on the link below, or by calling in. Please be aware if you call in, your phone number will appear as your ID.

Topic: Oregon Racing Commission's February 2026 Regular Commission Meeting  
Time: February 19, 2026, 01:30 PM Pacific Time (US and Canada)

Join Meeting: [Teams Link](#)  
Meeting ID: 213 943 944 952 32  
Passcode: Vs2Hw6rG

If you are unable to access this session through a computer, please dial: 1-503-446-4951  
Phone conference ID: 314 638 638#

*A request for an interpreter or other accommodation for persons with disabilities should be made at least 48 hours before the meeting to Commission staff at: 503-853-5927 or by email at [ORC.info@orc.oregon.gov](mailto:ORC.info@orc.oregon.gov). This proposed agenda is subject to last-minute changes without prior notice.*

**AGENDA ITEMS**

**ROLL CALL** – Karen Parkman, Director of Administration:

**APPROVALS** (need to conduct a vote): – Chair Doherty

- 1) Meeting Agenda
- 2) Meeting Minutes

**OLD BUSINESS:**

- 3) Director's Report – Director Winn

**NEW BUSINESS:**

- 4) Discussion and possible approval to begin the rulemaking for the following: - Director Winn:
  - a) OAR 462-150-0010 (5)(a) minimum official workout time

- 5) Rule Hearing Report – Karen Parkman
- 6) Discussion and possible approval to adopt the following rules: - Director Winn:
  - a) OAR 462-140-0320 (6)(i) EIA testing requirements
  - b) OAR 462-140-0130(28)(h) - Emergency warning systems
- 7) Review and possibly approve: - Director Winn
  - a) ORC Dust Storm Policy
  - b) ORC Auditing Charter
  - c) ORC Disaster Recovery Policy

**PUBLIC COMMENT:**

**CONTESTED CASES:**

- 1) Final Order by Default Suspending License; Imposing Civil Penalties, and Notice of Right to Appeal –
  - a) Ricardo Mariles-Santos

**EXECUTIVE SESSION**

The Commission will go into executive session - Pursuant to ORS 192.660(2)(f), for the Commission to consider information or records that are exempt by law from public inspection under ORS 192.345(2) and OAR 462-220-0070 regarding proprietary information and/or trade secrets.

**CONFIRMATION OF NEXT COMMISSION MEETING:**

The next commission meeting is scheduled for Thursday, March 19<sup>th</sup>, 2026, at 1:30 P.M. remotely via Microsoft Teams.

**ADJOURNMENT:**

Movement to adjourn.

*At any time during the public session, the Commission may go into executive session to consider information or records exempt from disclosure pursuant to ORS 192.660(2)(f), ORS 192.345(2), OAR 462-220-0070 regarding trade secrets; and/or ORS 192.660(2) (f) and ORS 192.355(9) to consult with counsel concerning written legal advice; and/or ORS 192.660(2)(h) to discuss its legal rights and duties regarding current litigation, or litigation likely to be filed. The Commission may also elect to deliberate on pending contested cases pursuant to ORS 192.690(1). Additional items may be placed on the agenda after the general mailing of the agenda. Calls may be made to the Commission office during the week of the meeting to inquire about additions.*



**Minutes**  
**Oregon Racing Commission**  
**January 15<sup>th</sup>, 2026**

**Meeting Detail**

The Oregon Racing Commission (ORC) met at 1:30 PM on January 15th, 2026, via Microsoft Teams videoconference.

**Call to Order, Roll Call and Mission Statement:**

Chair Doherty called the meeting to order at 1:30 PM, and Karen Parkman conducted roll call.

**In Attendance:**

**Commissioners:** Chair Margaret Doherty, Vice Chair Quinn Berry, Commissioners Lindsay Fowler, and Harvey Stein, DVM.

**Staff:** Connie Winn, Executive Director; Karen Parkman, Director of Administration, Kelly Routt, Assistant Attorney General (AAG)

**Excused:** Commissioner Marc Kinsley

**Approvals:**

**Meeting Agenda**

**Action:** Approve January 2026 meeting agenda, adding a Budget Committee report to old business.

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

**Meeting Minutes**

**Action:** Approve November 2025 meeting minutes.

**Moved by:** Commissioner Stein, DVM

**Second:** Commissioner Fowler

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

**OLD BUSINESS**

**Executive Director's Report – Director Winn:**

Director Winn introduced the new Senior Veterinarian, Dr. Carly Ross, DVM. Currently the budget forecast looks positive. Oregon continues to set itself apart as the gold standard for ADW regulation, and some new rules will be presented during the meeting which have been requested by the ADW's. The ORC is still looking for a new database but is working with Indiana who has

an in-house database that may work. Finally, the results of the Director 360 Review and staff Gallup poll are in and will be reported on during the meeting.

Director Winn gave an update on the lawsuit between Churchill Downs and Michigan. At this point there are no immediate effects on Oregon licensing, but it could have positive (for the ADWs) and negative (for individual states) impacts in the future.

### **Budget Committee Report**

Chair Doherty reported that the Budget Committee met earlier that morning and discussed Director Winn going to the emergency board (e-board) this legislative session to request increasing limitations on expenditures. Director Winn explained that the commission has the funds, but due to current spending limits, the ORC cannot use the funds. Chair Doherty recommended a vote to authorize Director Winn to go to the e-board to request increased limitations so the funds can be accessed for the benefit of the industry.

**Action:** Approve Director Winn requesting increased limitations on spending for current ORC funds.

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

### **NEW BUSINESS**

#### **Discussion and possible approval to begin the rule making process for the following rules: -**

##### **Director Winn**

Director Winn reported that all these rules were brought forward by the ADWs to ensure Oregon remains the gold standard. There will be an advisory committee meeting for more feedback in February.

**A. OAR 462-220-0085 (proposed) – Prohibited associations with non-compliant vendors**

This rule ensures no ADW is doing business with a bad actor who might damage the reputation of the whole industry.

**Action:** Approval to begin the rulemaking process for OAR 462-220-0085.

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

**B. OAR 462-220-0010(3)(4)(8) – Amendment; Defines: Customers, White Labels, Authorized Wagering Partners, and Non-compliant Vendors**

These amendments add clarifying language to the listed definitions.

**Action:** Approval to begin the rulemaking process for OAR 462-220-0010(3)(4)(8).

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

**C. OAR 462-220-0030 – Amendment; Changes name of Affiliate to Authorized Wagering Partner**

This change is due to Affiliate meaning different things in different jurisdictions. Changing the name to Authorized Wagering Partner will better reflect how Oregon defines their Affiliate licensees.

**Action:** Approval to begin the rulemaking process for OAR 462-220-0030.

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

**D. Payment due date source market fee**

This rule would create a deadline for source market fee payments, which are payments made directly to the associations by the ADWs if they receive a wager from an Oregon resident. This rule is being proposed because there have been some issues with the payments being made in a timely manner.

**Action:** Approval to begin the rulemaking process for payment due date of source market fees.

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

**Discussion and possible approval to adopt the following rules: - Director Winn**

**A. OAR 462-200-0360 (1) – OTB License Requirements**

Removes requirements for individual licenses at OTBs to the general manager or owner, and the person doing those duties. This is due to OTBs using tote machines as opposed to tellers.

**Action:** Approval to adopt OAR 462-200-0360 (1).

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

**B. OAR 462-220-0030 (6) – Increase Daily Fees**

Aligns fees to match the current statute for individual licensing fee of \$225.

**Action:** Approval to adopt OAR 462-220-0030 (6).

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

C. **OAR 462-220-0030 (3)(f) – Adds requirements for affiliates background and SLA’s**

a. **Proposed updates**

Requires background checks for affiliate licenses.

**Action:** Approval to adopt OAR 462-220-0030 (3)(f).

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

D. **OAR 462-220-0040 (4)(5) – Cleans up language and addresses non-merged pools**

a. **Proposed updates**

Cleans up the language and clarifies how fee changes will be communicated.

**Action:** Approval to adopt OAR 462-220-0040 (4)(5).

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

E. **OAR 462-220-0050 (1)(b) – Clarifies non-merged pools reimbursements for ORC expenses**

a. **Proposed updates**

Cleans up language and changes a flat rate 1% fee to “the Commission may require reimbursement of any oversight of non-merged pools.”

**Action:** Approval to adopt OAR 462-220-0050 (1)(b).

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

**Review and possible approval of: - Director Winn**

A. **ORC Dust Storm Policy**

Micah Lloyd reported that this policy is in the draft stages and defines who is responsible to make decisions, when action should be taken, and operational response levels in the case of a dust storm that could negatively impact racing. Public feedback included adding wind speed and temperature, in addition to particulates, in the conditions. This policy will

continue being worked on and presented again for more feedback at the next commission meeting.

**B. ORC Auditing Charter**

This document describes the responsibilities and auditing standards of each commission staff member who performs auditing duties. The Commissioners will further review and approve at the next commission meeting.

**C. ORC Disaster Recovery Plan**

This document is part of the Continuation of Operation Plan required by the state. It details potential risk factors and what staff should do in certain scenarios. Director Winn clarified that this plan is specifically for ORC staff, not fairground or racing staff, and also covers a lot of activities staff may encounter outside of being on the grounds at a racetrack. It is a 12-page plan that covers all emergency planning for the staff.

**D. ORC Conflict of Interest Policy**

This policy has existed for a while, but was never formalized by the commission. It defines conflict of interest, and activities staff and contract staff cannot participate in while working for the commission.

**Action:** Approval of ORC Conflict of Interest Policy

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein, DVM

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

**Request redistribution/approval of Grant Money for HRA Jockey Room Repairs – Rod Lowe**

Rod Lowe reported that the funds approved by the ORC to repair the HRA Jockey Room last year, ended up being around \$10k over what they used. He requested that those excess funds be reallocated to be used to make repairs to the paddock roof and weight room canopy. Rod clarified that the estimate for repairs is \$9.8k and the exact amount of ORC funding left is \$9.7k. He would cover any additional costs out of pocket.

**Action:** Approval to reallocate leftover HRA Jockey Room funds for repairs to the HRA paddock and weight room.

**Moved by:** Commissioner Fowler

**Second:** Commissioner Stein

**Vote:** Commissioners voted AYE, and the motion was carried unanimously (4:0).

**Director 360 Review and Gallup Employee Survey Report – Director Winn**

Director Winn reported that the Gallup survey is done annually, and this year was the start for the Director 360 reviews. The 360 review was sent out to 6075 different people including industry

partners, other agencies, and others. 25 results were received. Most of the category responses were “exceeds expectations” and “acceptable”. 2 people submitted “unacceptable” for “This individual fosters an inclusive workplace environment” but the survey does not give space for further details. Director Winn will work on improving this area.

The Gallup survey is staff only. This year, it did include some seasonal employees. Categories that scored lower than last year were:

- “I have the materials and supplies I need to do my job”
- “Is there someone at work who encourages my development”

No one said yes to having a best friend at work, which was one of the questions.

Categories that received higher scores than last year were:

- “I have the opportunity to do what I do best every day”,
- “In the last 7 days, I have received recognition for my work”,
- “My manager or someone at work cares about me as a person”
- “The mission or purpose of my agency makes me feel that my job is important.”

All staff still reported yes for:

- “My coworkers are committed to doing quality work”
- “In the last year I have had the opportunity to at work to learn and grow”.

#### **PUBLIC COMMENT:**

Rod Lowe suggested changing the deadline for source market from 30 days to 60 days. He also reported that, pending ORC approval at a future meeting, the fall race meet dates will be September 13, 14, 20, 21, 27, 28, October 4, 5, 11, and 12. Horses should be able to move in on September 5<sup>th</sup> and start training on the 9<sup>th</sup>. For the summer SOHRA meet, move in date is looking like May 1<sup>st</sup> with training starting on May 4<sup>th</sup>.

#### **CONTESTED CASES**

None.

#### **CONFIRMATION OF THE NEXT MEETING:**

The next commission meeting is scheduled for **February 19<sup>th</sup>, 2026**, at 1:30 P.M. remotely via Microsoft Teams.

#### **ADJOURNMENT:**

There being no further business, the meeting was adjourned at 2:50 P.M.

OFFICE OF THE SECRETARY OF STATE

TOBIAS READ  
SECRETARY OF STATE

MICHAEL KAPLAN  
DEPUTY SECRETARY OF STATE



ARCHIVES DIVISION

STEPHANIE CLARK  
DIRECTOR

800 SUMMER STREET NE  
SALEM, OR 97310  
503-373-0701

**TEMPORARY ADMINISTRATIVE ORDER**  
INCLUDING STATEMENT OF NEED & JUSTIFICATION

**RC 8-2025**

CHAPTER 462

**OREGON RACING COMMISSION**

**FILED**

08/22/2025 3:12 PM  
ARCHIVES DIVISION  
SECRETARY OF STATE  
& LEGISLATIVE COUNSEL

FILING CAPTION: Amends OAR 462-150-0010 (5)(a) minimum official workouts from 30 to 45 days.

EFFECTIVE DATE: 08/22/2025 THROUGH 02/17/2026

AGENCY APPROVED DATE: 08/21/2025

CONTACT: Karen Parkman

503-853-5927

karen.parkman@orc.oregon.gov

PO Box 366

Gresham, OR 97030

Filed By:

Karen Parkman

Rules Coordinator

**NEED FOR THE RULE(S):**

A temporary amendment is needed because of the track closures in California. Usually, racehorses travel between the Prineville and Tillamook Oregon and Northern California race circuit then return to Grants Pass, OR for Commercial race meet.

This year saw the end of horse racing in Northern California with two tracks discontinuing racing. While it is not an issue for Prineville to Tillamook, it is a huge issue between Tillamook to Grants Pass. The time between these two meets are beyond the 30 days. That would mean that few horses would be eligible to race in Grants Pass without the ability to complete the required workouts that would ordinarily be completed at the California tracks. They would need more time to get required workouts completed and published.

As this all occurred rather suddenly, we did not initially think of the consequences, or we could have had a meeting in July and had time to do the normal rule making process. It was not evident of the hardship until we got to Tillamook.

**JUSTIFICATION OF TEMPORARY FILING:**

- 1) The race meet will not have enough eligible horses to run.
- 2) This will result in hardship amongst a large number of licensees who depend on racing income for their livelihood.
- 3) Failure to immediately take action will cause inability to produce eligible horses because there will not be enough time to complete the required workouts without extending the time to get them done between leaving one track and waiting for the next track to open for official training workouts.
- 4) The temporary rule will extend the time from 30 to 45 days, making it possible for horses that need official published workouts to complete them.

**DOCUMENTS RELIED UPON, AND WHERE THEY ARE AVAILABLE:**

California Horse Racing Board

AMEND: 462-150-0010

RULE SUMMARY: Amends OAR 462-150-0010 to change minimum official workouts for Thoroughbreds from 30 to 45 days.

CHANGES TO RULE:

462-150-0010

Workouts; Exercise; Schooling ¶

- (1) An official workout must be under the supervision of the clocker. The galloping or ponying of horses for exercise, and unofficial schooling out of the gate, are not official workouts.¶
- (2) Before a horse has an official workout, the trainer shall ensure that the clocker is notified and the horse is properly identified. Mandatory schooling must be under the supervision of the appropriate racing official, who must keep a record of the results of the schooling. Official workouts must be timed and recorded. Official workouts may be accepted from other training tracks if the track and clocker are approved and licensed by the commission.¶
- (3) Official workouts may be accepted from a race meet or licensed public training track in another state if reported by a licensed clocker of the other state to the licensed clocker in Oregon or reported in the Daily Racing Form, or other approved publications.¶
- (4) No devices other than authorized riding equipment may be used for any workout, and no horse shall be worked out while under the influence of a prohibited drug or an unauthorized quantity of a permitted drug. The levels of permitted medications for workouts are the same as for race days. The stewards or commission veterinarian may require any horse to be tested for drugs after a workout.¶
- (5)(a) A Thoroughbred horse that has never run in a recognized race must have a minimum of two official workouts within ~~30~~45 days before being eligible to start in an official race. Any Thoroughbred horse that has not run in a recognized race in the ~~30~~45 days prior to the race in which it is sought to be entered must have at least one official workout within the previous ~~30~~45 days before being eligible to race in an official race.¶
- (b) A Quarter Horse, Appaloosa, Paint, Arabian or mule that has never run in a recognized race must have a minimum of two official workouts within 45 days before being eligible to start in an official race. Any Quarter Horse, Appaloosa, Paint, Arabian or mule that has not run in a recognized race in the 45 days prior to the race in which it is sought to be entered must have at least one official work within the previous 45 days before being eligible to start in an official race. (c) The first time a horse or mule races around a turn it must have not less than 1 work around the turn within the past 45 days.¶
- (6) No horse may be worked out during pari-mutuel racing hours without prior permission from the paddock judge and the stewards.¶
- (7) Before accepting the entry of any horse, the stewards may require the horse to have additional official workouts. Also the stewards or the commission veterinarian may, for good cause, order a horse to be worked at a specific distance and effort.¶
- (8) No workout other than an official workout which has been recorded by a licensed clocker shall be submitted for publication in the Daily Racing Form, Equibase or other approved publications.

Statutory/Other Authority: ORS 462.270(3)

Statutes/Other Implemented: ORS 462.270

Division 150

HORSE RACING REQUIREMENTS AND PROCEDURES

**462-150-0010**

**Workouts; Exercise; Schooling**

(1) An official workout must be under the supervision of the clocker. The galloping or ponying of horses for exercise, and unofficial schooling out of the gate, are not official workouts.

(2) Before a horse has an official workout, the trainer shall ensure that the clocker is notified and the horse is properly identified. Mandatory schooling must be under the supervision of the appropriate racing official, who must keep a record of the results of the schooling. Official workouts must be timed and recorded. Official workouts may be accepted from other training tracks if the track and clocker are approved and licensed by the commission.

(3) Official workouts may be accepted from a race meet or licensed public training track in another state if reported by a licensed clocker of the other state to the licensed clocker in Oregon or reported in the Daily Racing Form, or other approved publications.

(4) No devices other than authorized riding equipment may be used for any workout, and no horse shall be worked out while under the influence of a prohibited drug or an unauthorized quantity of a permitted drug. The levels of permitted medications for workouts are the same as for race days. The stewards or commission veterinarian may require any horse to be tested for drugs after a workout.

(5)(a) A Thoroughbred horse that has never run in a recognized race must have a minimum of two official workouts within ~~30~~ **45** days before being eligible to start in an official race. Any Thoroughbred horse that has not run in a recognized race in the ~~30~~ **45** days prior to the race in which it is sought to be entered must have at least one official workout within the previous ~~30~~ **45** days before being eligible to race in an official race.

(b) A Quarter Horse, Appaloosa, Paint, Arabian or mule that has never run in a recognized race must have a minimum of two official workouts within 45 days before being eligible to start in an official race. Any Quarter Horse, Appaloosa, Paint, Arabian or mule that has not run in a recognized race in the 45 days prior to the race in which it is sought to be entered must have at least one official work within the previous 45 days before being eligible to start in an official race. (c) The first time a horse or mule races around a turn it must have not less than 1 work around the turn within the past 45 days.

(6) No horse may be worked out during pari-mutuel racing hours without prior permission from the paddock judge and the stewards.

(7) Before accepting the entry of any horse, the stewards may require the horse to have additional official workouts. Also the stewards or the commission veterinarian may, for good cause, order a horse to be worked at a specific distance and effort.

(8) No workout other than an official workout which has been recorded by a licensed clocker shall be submitted for publication in the Daily Racing Form, Equibase or other approved publications.

**Statutory/Other Authority:** ORS 462.270(3)

**Statutes/Other Implemented:** ORS 462.270

**History:**

RC 2-2009, f. 8-24-09, cert. ef. 10-1-09

RC 2-2008, f. & cert. ef. 9-30-08

RC 5-2002, f. 12-6-02, cert. ef. 1-1-03

RC 3-2000, f. 3-27-00, cert. ef. 5-1-00

OFFICE OF THE SECRETARY OF STATE  
TOBIAS READ  
SECRETARY OF STATE  
  
MICHAEL KAPLAN  
DEPUTY SECRETARY OF STATE



ARCHIVES DIVISION  
STEPHANIE CLARK  
DIRECTOR  
  
800 SUMMER STREET NE  
SALEM, OR 97310  
503-373-0701

**NOTICE OF PROPOSED RULEMAKING**  
INCLUDING STATEMENT OF NEED & FISCAL IMPACT

CHAPTER 462  
**OREGON RACING COMMISSION**

**FILED**

12/04/2025 2:46 PM  
ARCHIVES DIVISION  
SECRETARY OF STATE

FILING CAPTION: Amends 462-140-0320 (6)(i) to change equine infectious anemia (EIA) testing requirements.

LAST DAY AND TIME TO OFFER COMMENT TO AGENCY: 01/22/2026 11:55 PM

*The Agency requests public comment on whether other options should be considered for achieving the rule's substantive goals while reducing negative economic impact of the rule on business.*

CONTACT: Karen Parkman  
503-853-5927  
karen.parkman@orc.oregon.gov

P.O. Box 366  
Gresham, OR 97030

Filed By:  
Karen Parkman  
Rules Coordinator

HEARING(S)

*Auxiliary aids for persons with disabilities are available upon advance request. Notify the contact listed above.*

DATE: 01/21/2026  
TIME: 9:00 AM - 9:30 AM  
OFFICER: Connie Winn

REMOTE HEARING DETAILS

MEETING URL: [Click here to join the meeting](#)  
PHONE NUMBER: 503-853-5927  
CONFERENCE ID: 71285630  
SPECIAL INSTRUCTIONS:  
Meeting ID: 266 160 637 971 35  
Passcode: qr7zF3gF  
+1 503-446-4951,,712285630# United States, Portland

NEED FOR THE RULE(S)

To create consistency across jurisdictions.

DOCUMENTS RELIED UPON, AND WHERE THEY ARE AVAILABLE

"Racehorse EIA requirements - Western U.S." Stored electronically with the agency and available upon request.

STATEMENT IDENTIFYING HOW ADOPTION OF RULE(S) WILL AFFECT RACIAL EQUITY IN THIS STATE

Will not affect racial equity

FISCAL AND ECONOMIC IMPACT:

None

COST OF COMPLIANCE:

(1) Identify any state agencies, units of local government, and members of the public likely to be economically affected by the rule(s). (2) Effect on Small Businesses: (a) Estimate the number and type of small businesses subject to the rule(s); (b) Describe the expected reporting, recordkeeping and administrative activities and cost required to comply with the rule(s); (c) Estimate the cost of professional services, equipment supplies, labor and increased administration required to comply with the rule(s).

None

DESCRIBE HOW SMALL BUSINESSES WERE INVOLVED IN THE DEVELOPMENT OF THESE RULE(S):

Small business were not involved and are not affected.

WAS AN ADMINISTRATIVE RULE ADVISORY COMMITTEE CONSULTED? YES

AMEND: 462-140-0320

RULE SUMMARY: Amends 462-140-0320 (6)(i) to change equine infectious anemia (EIA) testing requirements.

CHANGES TO RULE:

462-140-0320

Trainer ¶¶

- (1) The trainer shall be responsible for and shall be the absolute insurer of the condition of horses entered in an official workout or race, regardless of the acts of third persons.¶¶
- (a) The trainer is responsible for the presence of any prohibited drug, medication or other substance, including permitted medication in excess of the maximum allowable level, in such horses. A positive test for a prohibited drug, medication or substance, including permitted medication in excess of the maximum allowable level, as reported by a commission approved laboratory, is prima facie evidence of a violation of this rule.¶¶
- (b) If any of the trainer's duties are delegated to other personnel, the trainer remains responsible if those jobs are not properly done.¶¶
- (c) The trainer shall be responsible for the condition and contents of stalls, tack rooms, and other areas which have been assigned to the trainer by the association.¶¶
- (2) No trainer shall practice his/her profession except under the trainer's real and true name.¶¶
- (3) A trainer is responsible for insuring that all employees and owners under his/her supervision, and any other person who assists the trainer in the performance of his/her duties, are properly licensed with the commission and shall report to the commission within 24 hours the discharge or change of any permanent employee.¶¶
- (4) When a trainer is unable to perform the duties required of the trainer for a period of more than 24 hours, the trainer shall promptly notify the stewards and shall recommend another qualified person to assume the responsibilities of the trainer, subject to approval of the stewards. The trainer shall immediately advise the stewards when the regular trainer resumes his/her duties.¶¶
- (5) The trainer shall ensure that all horses under his/her care are in sound racing condition and are eligible under the conditions of the race before entering a horse in any race. If a trainer discovers that an entered horse is ineligible or no longer meets all entry requirements and conditions of the race, or is not in sound racing condition, the trainer shall immediately notify the racing secretary and submit any required form. A horse is not in sound racing condition if it is ill, lame, injured, not properly plated, is blind, or its vision is seriously impaired in both eyes.¶¶
- (6) It shall be the responsibility of the trainer to:¶¶
- (a) Attend their horse in the paddock, saddle and/or supervise the saddling of the horse, unless the permission of the stewards has been given to send another licensed trainer as a substitute.¶¶
- (b) Maintain the assigned stable area in a clean, neat and sanitary condition at all times:¶¶
- (c) Ensure that fire prevention rules are strictly observed in the assigned stable area.¶¶
- (d) Ensure the proper identity, custody, care, health, condition and safety of horses in his/her charge.¶¶
- (e) Disclose the true and entire ownership of each horse in his/her care, custody or control. Any change in ownership shall be reported immediately to, and approved by, the stewards and recorded by the racing secretary.¶¶
- (f) Train all horses owned wholly or in part by him/her which are participating at the meeting.¶¶
- (g) Register with the racing secretary each horse in his/her charge within 24 hours of the arrival on association

grounds.¶

- (h) Ensure that, at the discretion of the Oregon Racing Commission, upon arrival at a licensed racetrack, each horse in his/her care is accompanied by a valid health certificate which shall be filed with the racing secretary.¶
- (i) All equines must have a negative Official Test for equine infectious anemia (EIA) conducted within ~~six months~~ six months prior to entry onto any race track or training track under the jurisdiction of the Oregon Racing Commission ~~twelve months~~. The negative EIA test shall be filed as evidence with the racing secretary.¶
- (j) Use the services of those veterinarians licensed by the Commission to attend horses that are on association grounds.¶
- (k) Promptly report the death of any horse in his/her care on association grounds to the commission veterinarian and to maintain compliance with the rules in governing post-mortem examinations.¶
- (l) Maintain knowledge of medication record and status of all horses in his/her care.¶
- (m) Immediately report to the stewards and the official veterinarian if he/she knows, or has cause to believe, that a horse in his/her custody, care or control has received any prohibited drug or medication.¶
- (n) Represent an owner in making entries and scratches.¶
- (o) Ensure the fitness of a horse to perform creditably at the distance entered.¶
- (p) Ensure that his/her horses are properly shod, bandaged and equipped.¶
- (q) Attend the collection of urine or blood sample from the horse in his/her charge or delegate a licensed representative or the owner of the horse to do so.¶
- (r) Notify horse owners upon the revocation or suspension of his/her trainer's license. Upon application by the owner, the stewards may approve the transfer of such horses to the care of another licensed trainer, and upon such approved transfer, such horses may be entered to race.¶
- (7) No trainer shall remove or permit to be removed from the racecourse any horse under his or her care without written permission of the racing secretary.¶
- (8) The trainer shall see to it that the foal certificate of any horse in his/her care shows if a horse has been nerved, and shall verify that the horse's name is on the list of nerved horses posted by the racing secretary, and shall inform the commission veterinarian of any nerved horses.¶
- (9) No trainer shall employ a jockey for the purpose of preventing the jockey from riding in any race.¶
- (10) Any trainer that accepts the responsibility, either whole or in part, for the care or racing of another trainer's horse or horses may be held equally responsible for any violation of the Oregon rules of racing that occur while in his/her care.

Statutory/Other Authority: ORS 462.270(3)

Statutes/Other Implemented: ORS 462.270

Written In Comments - The following public comments were received via email regarding **OAR 462-140-0320 (6) (i)**:

"I oppose any change to the 6 month Coggins requirement for Oregon. First, our rules should be to protect Oregon racing. In no way does a 6 month requirement negatively affect Oregon horsemen. If they choose to race in states that require a 1 year Coggins, their test is still valid for those jurisdictions.

Second, other racetracks have secure stable gates with security checking in and out the horses. Our fairs do not. One of the main purposes as it relates to Coggins tests is for contact tracing should a positive case arise. Unfortunately, many of the Quarter Horses that come to Oregon come from racetracks with questionable security. Bush track racing is a problem with Quarter Horses and a 6 month Coggins is added security for the Oregon racing program.

Third, Canada has a 6 month requirement for Coggins. Arapahoe Park in Colorado has a 30 day requirement (tests must be performed within 30 days of entry to stable area) for Quarter Horses.

Lastly, it is foolish to believe that we won't have expired Coggins tests during our meets going back to 1 year tests. Expiration of tests occurs at every track even when 1 year tests are done. If Coggins tests are done after a horse has arrived to Oregon tracks, the risk to the entire population is devastating should that horse test positive.

In short, the risks in changing this requirement far outweigh any benefits, benefits that are nebulous at best." – Commissioner Stein, DVM

.

Dear Commissioners,

The Oregon Quarter Horse Racing Association unanimously voted to request the Commission to adopt a rule requiring a coggins test for EIA on an annual basis as opposed to once every 6 months.

This would return our racing to a position of greater consistency with surrounding states.

As you know, the facilities that we use for our race meets are shared with other equine activities such as horse shows and rodeos which are required by the Department of Agriculture to have a coggins test on an annual basis.

Thank you for considering this request made by the Oregon Quarter Horse Racing Association.

Sincerely,

Chris Philbrook President, OQHRA

OFFICE OF THE SECRETARY OF STATE  
TOBIAS READ  
SECRETARY OF STATE  
  
MICHAEL KAPLAN  
DEPUTY SECRETARY OF STATE



ARCHIVES DIVISION  
STEPHANIE CLARK  
DIRECTOR  
  
800 SUMMER STREET NE  
SALEM, OR 97310  
503-373-0701

**NOTICE OF PROPOSED RULEMAKING**  
INCLUDING STATEMENT OF NEED & FISCAL IMPACT

CHAPTER 462  
**OREGON RACING COMMISSION**

**FILED**  
12/04/2025 3:07 PM  
ARCHIVES DIVISION  
SECRETARY OF STATE

FILING CAPTION: Amends 462-140-0130 (28) (h) new requirement to install warning system at all tracks

LAST DAY AND TIME TO OFFER COMMENT TO AGENCY: 01/22/2026 11:55 PM

*The Agency requests public comment on whether other options should be considered for achieving the rule's substantive goals while reducing negative economic impact of the rule on business.*

CONTACT: Karen Parkman  
503-853-5927  
karen.parkman@orc.oregon.gov

P.O. Box 366  
Gresham, OR 97030

Filed By:  
Karen Parkman  
Rules Coordinator

HEARING(S)

*Auxiliary aids for persons with disabilities are available upon advance request. Notify the contact listed above.*

DATE: 01/21/2026  
TIME: 9:30 AM - 10:00 AM  
OFFICER: Connie Winn

REMOTE HEARING DETAILS

MEETING URL: [Click here to join the meeting](#)  
PHONE NUMBER: 503-853-5927  
CONFERENCE ID: 712285630  
SPECIAL INSTRUCTIONS:  
Meeting ID: 266 160 637 971 35  
Passcode: qr7zF3gF  
+1 503-446-4951,,712285630# United States, Portland

NEED FOR THE RULE(S)

Track safety

DOCUMENTS RELIED UPON, AND WHERE THEY ARE AVAILABLE

Stored electronically with the agency and available upon request

STATEMENT IDENTIFYING HOW ADOPTION OF RULE(S) WILL AFFECT RACIAL EQUITY IN THIS STATE

Does not affect racial equity

FISCAL AND ECONOMIC IMPACT:

None

COST OF COMPLIANCE:

(1) Identify any state agencies, units of local government, and members of the public likely to be economically affected by the rule(s). (2) Effect on Small Businesses: (a) Estimate the number and type of small businesses subject to the rule(s); (b) Describe the expected reporting, recordkeeping and administrative activities and cost required to comply with the rule(s); (c) Estimate the cost of professional services, equipment supplies, labor and increased administration required to comply with the rule(s).

None

DESCRIBE HOW SMALL BUSINESSES WERE INVOLVED IN THE DEVELOPMENT OF THESE RULE(S):

small business were not involved and are not affected

WAS AN ADMINISTRATIVE RULE ADVISORY COMMITTEE CONSULTED? YES

AMEND: 462-140-0130

RULE SUMMARY: Amends 462-140-0130 (28) (h) to require all tracks in Oregon to install warning system.

CHANGES TO RULE:

462-140-0130

Race Meet Licensee ¶¶

(1) License Application. Applications for racing dates must be on file with the commission at Oregon Racing Commission P.O. Box 366 Gresham, OR 97030 or faxed to (971) 673-0213; or emailed to [orc.info@oregon.gov](mailto:orc.info@oregon.gov) when required by the commission.¶¶

(2) Race Meet Licensee Employees. The race meet licensee shall be responsible for ensuring that all employees are properly licensed and current. The race meet licensee shall provide the licensing department with a complete list of employees at the start of each race meet and thereafter shall maintain and provide the licensing department with any subsequent changes.¶¶

(3) Racing Officials. The race meet licensee shall hire all necessary racing officials and shall submit to the commission for approval the names of all proposed racing officials and their assistants, except commission employees, at least 45 days prior to the proposed race meet. This deadline may be waived by the commission for good cause. Substitutions of racing officials may be made from time to time as provided in OAR 462-140-0060(10). The race meet licensee shall provide the commission, for confirmation, timely updates of the list of officials and their assistants when changes are made. The commission may appoint an employee of the commission to serve as a racing official for any race meet and may require the race meet licensee to pay the employee's compensation.¶¶

(4) Safe and Clean Facilities. The race meet licensee shall provide all facilities necessary for the proper conduct of the race meet and shall take every reasonable precaution to make all areas of the racecourse safe and shall ensure that the paddocks, starting gate, test barn and other equipment with which racing animals may come in contact are kept in a clean condition and free of dangerous surfaces. The race meet licensee shall keep the grounds of the racecourse in a clean condition.¶¶

(5) Commission Offices. The race meet licensee shall provide adequate office space properly equipped and maintained for the use of the commission and its designated representatives. Office space includes, but is not limited to, general offices and stewards' office. Upon request, the race meet licensee shall furnish suitable space and accommodations for fingerprinting and photographing license applicants.¶¶

(6) First Aid. During racing hours the race meet licensee shall provide and equip a first aid room within the racecourse and shall have present on the premises a licensed EMT or paramedic unless otherwise authorized by the board of stewards.¶¶

(7) Equine Ambulance.¶¶

(a) The race meet licensee shall provide an equine ambulance attached to a tractor or vehicle for the immediate removal of an injured animal from the racecourse. The ambulance shall be available during racing and training hours and the period preceding the official opening of the race meet.¶¶

(b) The race meet licensee shall require a licensed veterinarian to be on the grounds during racing hours for the immediate treatment of an injured animal on the racecourse.¶¶

(c) The race meet licensee shall have available either a licensed veterinarian on the grounds and/or a list of available veterinary clinics with emergency contacts and phone numbers for timely treatment of an injured animal

on the racecourse during training hours.¶

(8) Every race meet licensee shall operate its own pari-mutuel department, and in no event shall subcontract or let to concessionaires the operation of the pari-mutuel department or any part thereof without commission approval.¶

(9) Totalizator. The race meet licensee shall maintain a satisfactory totalizator system, including a tote board.¶

(10) Post-Race Test Area. The race meet licensee shall furnish a post-race receiving area approved by the commission veterinarian, with sufficient facilities to safely collect, store and secure saliva, urine, hair, and/or blood samples from racing animals.¶

(11) The race meet licensee shall provide adequate racing silks, saddlecloths, head numbers, lead weights, and other standard equipment.¶

(12) Photofinish; Timing Devices. The race meet licensee shall provide a sufficient amount of light at the finish line for nighttime and twilight racing and shall install two automatic timing devices approved by the commission, and shall provide a photofinish booth meeting standards set by the commission. (The cost of photofinish services for pari-mutuel races shall be an expense of the commission)¶

(13) Tip Sheets. The race meet licensee may contract with no more than two persons to sell tip sheets on the racecourse during a race meet. Tip sheets obtained from out-of-state host tracks which are part of the race meet licensee's simulcast program shall not count against the limit of two tip sheets. The race meet licensee shall provide booths and utilities for the tip sheet sellers, and may charge a reasonable fee for their use. The race meet licensee shall not allow anyone to sell tip sheets who is not licensed by the commission and shall not allow tip sheets to be sold in wagering areas. Tip sheets must be sold from a booth, and the previous day's sheets and outcomes must be displayed on the front of each booth. Tip sheets must be independently handicapped, and each handicapper must sign and deliver such sheet at least one hour before post time to the commission office located on the racecourse.¶

(14) Security. The race meet licensee shall provide a sufficient number of security personnel to provide adequate security for all areas of the racecourse, including parking lots, test barn, and stable areas, and shall ensure that unlicensed individuals do not enter restricted areas. The race meet licensee and its security personnel shall cooperate with local authorities and with commission personnel in enforcing the rules of racing and the laws of this state, and shall promptly inform commission stewards of all violations of ORS chapter 462 and the rules of racing. All security reports and records will be made available in a timely manner to commission investigators, the board of stewards and/or the executive director.¶

(15) Commission Access. Members, employees, and representatives of the commission shall be given full and complete access to any and all areas of the racecourse at which a race meet is being held.¶

(16) Transmission. Any person desiring to broadcast, televise or transmit from the track by press wire pertinent information relating to any feature race run at the track shall first file with the commission, for its approval, an application stating the particular feature races and dates that it desires to broadcast, televise or transmit, together with the name and address of the representative of the public press, radio, or television authorized to broadcast, televise or transmit the requested information. Other than at approved off-track wagering facilities, shall the exact odds be announced, nor shall pay off of winners be given until the result of the race has been declared "official".¶

(17) Attendance Report. The race meet licensee may make a daily attendance report to the commission, unless otherwise authorized by the commission.¶

(18) Conflict of Interest. No employee, officer, or director of a race meet licensee shall be permitted to own, lease, or have any other interest in any racing animal entered for racing on the race meet licensee's racecourse, unless approved by the commission.¶

(19) Waste Disposal. The race meet licensee shall provide, secure and maintain medical waste containers as approved by the commission or commission designee.¶

(20) Parking Permits. When requested by the commission, the race meet licensee shall designate a parking area for commission members, employees, and special guests who are in possession of parking permits issued by the commission. Parking in the designated area shall be free.¶

(21) Communication System. The race meet licensee shall provide an adequate on track/outside communication system as required by the commission.¶

(22) Stalls. The race meet licensee shall attempt to be fair and equitable in assigning stall space, and shall provide receiving stalls for horses which are brought onto the racecourse from outside stable space for a race.¶

(23) Records of Horse Movements. The race meet licensee shall maintain a record of arrival and departure of all horses from the stable area.¶

(24) Numbered Buildings. All stables, barns and stalls shall be numbered or otherwise clearly identified.¶

(25) Track Kitchen. The race meet licensee, or other person approved by the race meet licensee, may maintain and supervise a kitchen in the stable area and shall supervise any other area where food or drink is dispensed. All food service facilities shall comply with state and local health and sanitation requirements.¶

(26) Distance Pole Markers. Distance pole markers must be 10 feet from the rail and shall be painted as follows:¶

(a) 1/4 poles - red and white;¶

(b) 1/8 poles - green and white;¶

(c) 1/16 poles - black and white.¶

(27) Horseman's Accounts. Unless otherwise authorized by the commission, the race meet licensee shall keep a separate account, to be known as the "horseman's account", with sufficient funds to cover all monies due horsemen in regard to purses, stakes, rewards, claims, and deposits. Only those persons in whose name the account is established, or their duly authorized agent, may make withdrawals from the account.¶

(28) Race Track Safety Standards. Any racetrack on which a licensed race meet is conducted must meet the following standards unless otherwise authorized by the commission for good cause:¶

(a) Rails. All racing surfaces must have inner and outer rails of a design and construction approved by the commission:¶

(A) Permanent rails must be made of a material which will take the impact of a horse without breaking away. All rail posts must be set in concrete at least 6 inches below the surface and at least 24 inches deep. The height of the rail must be 40 inches plus or minus 2 inches from the top of the cushion to the top of the rail. The top rail must be bolted or welded to the posts and should be smooth with no jagged edges.¶

(B) For race meets or continuous race meets that are licensed to run 25 days or more per fiscal year, the inside rail shall be permanent of gooseneck design and have no less than 24-inch overhang with a continuous smooth elevated cover which entirely covers the overhang.¶

(C) For race meets or continuous race meets which are licensed to run for 24 days or less during a fiscal year, the design of the rail is subject to the approval of the commission during the licensing hearing, with consultation from the executive director, the stewards, the race meet licensee(s), and the jockeys riding at the meet or their representative. In order to facilitate this provision the executive director, the director or racing for the race meet(s), the stewards and the jockeys or their representative shall discuss needed improvements for the next year's race meet during or at the conclusion of each meet.¶

(b) Gates (Gaps). No gate openings in a rail may be over 10 feet long without a center support. The top rail of the gate must be secured to the top of the rail. Gate openings should not look any different from the rest of the rail. All gates, other than the "On" and the "Off" gates during training, must be closed during racing and training. "On" and "Off" gates for horse access during training should be placed at least 50 feet apart.¶

(c) Morning Starting Gate. The starting gate used for morning schooling shall be placed far enough from the "On" and "Off" gates (gaps) so that horses coming on and going off the track will not interfere with or distract morning schooling or breaking from the gate.¶

(d) Obstacles. No obstacle or device, such as distance pole markers, electrical boxes, timers, starter's stands, patrol judge's stands, etc. shall be placed within 10 feet of the back of the bottom of the rail post unless made flexible or break-away.¶

(e) Drainage Ditches or Holes. Any drainage ditch or hole behind the inside rail must be covered with soft material level with the ground surface.¶

(f) Lighting. All race track lighting systems for nighttime racing must have an operational emergency generator or battery back-up system which is serviced and tested at least once a month during the track's racing season. Servicing and testing of the emergency lighting system must be documented in writing and available to the commission staff upon request.¶

(g) Ambulance.¶

(A) The race meet licensee shall provide an ambulance with standard medical equipment and certified paramedics or Emergency Medical Technicians (EMT) for protection of patrons and racing personnel during the conduct of a race meet, including workouts, and during the training period preceding the official opening of the race meet.¶

(B) During racing, the ambulance and/or a certified paramedic or EMT, an ORC veterinarian, and investigator must be at the paddock prior to horses arriving to be saddled and at the starting gate before horses are loaded and until the horses are loaded. If the ambulance is being used to transport an individual, the race meet licensee may not allow horses with riders on the track until the ambulance is replaced.¶

(C) During racing the ambulance shall follow the field either on the track or in the infield unless otherwise directed by the stewards. The ambulance must be staffed by certified paramedics or EMTs, be properly equipped and otherwise be suitable for transporting an injured person from the track to a roadworthy ambulance for transport to a hospital. A back-up ambulance is to be in attendance during the absence of the main ambulance.¶

(h) All Racetracks shall install an emergency track warning system on all racing and training tracks. The warning system must be approved by the Oregon Racing Commission.¶

(I) Safety Committee. Any race track location which has 15 or more race days per year, regardless of the number of race meet licensees, will have a safety committee. The safety committee will be made up of two (2) representatives from the management of the race meet licensee, two (2) representatives from the jockeys riding at the track, two (2) representatives from the horsemen with papers in the race office at the track, and at least one

(1) of the state stewards. This committee will be responsible for addressing unsafe conditions on the racecourse including the racing surface and recommending solutions to the conditions to the race meet licensee management, the racing commission executive director and/or the commission.¶

(29) Assistant Starters. The race meet licensee shall ensure that there is one assistant starter per horse in the race plus at least one assistant starter to shut the tailgates.¶

(30) Valets. There shall be at least one valet for every three horses in the maximum field size approved by the commission.¶

(31) Fire Safety in Stable Areas:¶

(a) Every race meet licensee shall cause to be posted in the stable area of its premises the fire regulations applicable on its grounds and such posted notice shall also state the location of the nearest fire alarm box and the telephone number of the fire department or other pertinent instructions as to the method for reporting a fire in the area. Such notices shall be posted no more than one hundred (100) feet apart or as approved by the local fire authority. No race meet licensee, management or person shall violate the posted fire regulations specified by the commission.¶

(b) All trainers or their assistants and all concessionaires or their assistants shall acquaint themselves with and brief their employees as to the following:¶

(A) Smoking regulations.¶

(B) Location of fire notification system in the immediate area of assigned barn.¶

(C) Location of all fire extinguishers and extinguishing equipment in assigned barn area.¶

(D) Regulations regarding occupancy, use of extension cords for extending electrical circuits, and use of electrical appliances.¶

(E) Regulations regarding storage and use of feed, straw, tack, and supplies.¶

(F) Track regulations with regard to fire and security, copies of which shall be provided to all trainers or their assistants and concessionaires or their assistants. These regulations shall be used in instructing members of the trainers' and concessionaires' staffs assigned to the barn area.¶

(c) Signs shall be posted in every barn and associated buildings dealing with the following information:¶

(A) Location of manual fire alarm stations, emergency telephones, or other methods of fire alert.¶

(B) Location of fire protection first-aid appliances.¶

(C) Emergency procedures specific to the particular track facilities.¶

(D) Location of nearest medical waste disposal containers.¶

(d) No open burning shall be permitted in the barn area.¶

(e) Smoking shall be prohibited except in designated safe areas. Proper warning signs shall be posted.¶

(f) Use of any portable electrical appliance shall be restricted to the following conditions:¶

(A) Multiple-outlet adapters shall be prohibited.¶

(B) Not more than one continuous extension cord shall be used to connect one appliance to the fixed receptacle, and such cord shall be listed for hard service and properly sized for the intended application.¶

(g) Extension cords shall not be supported by any metal object such as nails, screws, hooks, and pipes.¶

(h) Portable cooking and heating appliances shall be used only in spaces designated for such use provided they are separated from the stabling and storage areas of the barn.¶

(i) Portable electrical heating and cooking appliances shall be of a type that automatically interrupts electrical current to the heating element when the appliance is not in the normal operating position (tip-over disconnect).¶

(j) Use of exposed element heating appliances such as immersion heaters shall be prohibited except as used in accordance with the race meet licensee guidelines.¶

(k) The storage of flammable and combustible liquids, except those used for medicinal purposes, shall be prohibited.¶

(l) The water supply shall be capable of providing pressure and discharge capacity required for automatically supplying sprinklers, hydrants, and hose lines.¶

(m) Fire protection must meet the local fire regulations.¶

(32) The race meet licensee shall have available current telephone numbers for twenty-four (24) hour emergency veterinarian care. The race meet licensee shall post an established procedure, approved by the commission veterinarian, for providing emergency veterinarian care five (5) days prior to until five (5) days past their race meet.¶

(33) The racetrack licensee shall be responsible for providing necessary track staff with a Microchip Reader and internet enabled tablet, able to connect to the reader, to view the horse breed registration associated with the "Digital Tattoo". For fair meets the Commission will have available a Microchip reader and internet enabled tablet.¶

(34) Any race meet licensee failing to enforce these rules may be subject to fine or revocation of license.

Statutory/Other Authority: ORS462.250

Statutes/Other Implemented: ORS 462.270



<b>Oregon Racing Commission</b>	
Title:	Dust Storm Policy
Policy Number:	2026-462-2
Applicability:	All Racing Commission Staff
Reference:	NA
Effective Date:	February 1, 2026
Approved:	Connie Winn - Executive Director

Applies To: All licensed race meets, race officials, track operators, participants, and support personnel.

### 1. Purpose

The purpose of this policy is to establish clear standards and procedures for the management of **dust storms, blowing dust, and wind-related airborne particulate conditions** that may jeopardize the safety of horses, riders/drivers, officials, backstretch workers, and spectators at Oregon race meets.

Dust and airborne particulates significantly affect **visibility, air quality, footing, and respiratory health**, and therefore require defined operational thresholds and decision-making authority.

### 2. Scope

This policy applies to:

- All **pari-mutuel race meets** licensed by the Oregon Racing Commission.
- All **racetrack operators**, Track Stewards, regulatory veterinarians, and race personnel.
- All **participants**, including trainers, jockeys, drivers, grooms, and contractors.
- **Pre-race, in-race, and post-race** operations.

### 3. Definitions

- Dust Storm: A weather event characterized by high winds lifting significant dust, reducing visibility—often to ¼ mile or less—and posing respiratory and safety hazards.
- Blowing Dust Conditions: Any wind-related dust movement that reduces visibility, irritates eyes/respiratory systems, or obscures track surfaces.
- Visibility Threshold: A pre-determined minimum visibility required for safe racing, generally ¼ mile or a standard set by the Stewards.
- Airborne Particulate Hazard: Any dust concentration judged by the Regulatory Veterinarian or Stewards to pose a health or performance risk.

### 4. Roles & Responsibilities

#### 4.1 Oregon Racing Commission Stewards

- Serve as primary decision-makers regarding race delays, suspensions, or cancellations.
- Assess conditions in coordination with the track superintendent and regulatory veterinarian.
- Issue official rulings regarding race status.

#### 4.2 Regulatory Veterinarian

- Evaluates equine respiratory, ocular, and general health impact.
- Advises Stewards when conditions pose unacceptable health risk.
- Documents medical findings related to dust exposure.

#### 4.3 Track Superintendent

- Monitors track surface conditions, wind patterns, moisture content, and dust generation potential.
- Implements mitigation measures (watering, soil treatment, equipment deployment).
- Provides real-time assessment to Stewards.

#### 4.4 Racetrack Operator

- Ensures staff are trained in dust storm protocol.
- Maintains communication systems for participants and public.
- Ensures dust-mitigation equipment is available and operational.

#### 4.5 Jockeys/Drivers/Trainers

- Report visibility or respiratory concerns to Stewards or veterinarians.
- Comply with directives issued under this policy.

### 5. Monitoring & Early Detection

#### 5.1 Weather Monitoring

- Track personnel must monitor:
- National Weather Service (NWS) advisories, including Dust Storm Warnings.
- Active wind speeds, gusts, and sudden wind shifts.
- Forecasted high-wind events.

## 5.2 On-Site Observations

- Daily inspections shall evaluate:
- Track moisture and dust potential.
- Visibility at all points of the oval and in warm-up/paddock areas.
- Presence of advancing dust clouds.
- Backstretch and stable-area air quality.

## 6. Operational Response Levels

The following tiers guide operational decisions:

### Level 1 — Heightened Awareness

#### Conditions:

- Increasing winds with light visible dust.
- No NWS advisory, but reduced visibility or rising dust movement detected.

#### Required Actions:

- Increase track watering or suppression measures.
- Notify Stewards, veterinarians, and jockey/trainer representatives.
- Prepare contingency communications (public address updates, social media, wagering partners).
- Slow or restrict non-essential vehicular movement generating added dust.

### Level 2 — Operational Modification

#### Conditions:

- Sustained winds or gusts creating moderate blowing dust.
- Visibility trending downward but still above safe racing threshold.
- Dust irritation noted in horses or personnel.

#### Possible Actions:

- Delay race post times until conditions stabilize.
- Reduce field size as needed.
- Adjust race schedule or shorten card.
- Increase paddock/track watering frequency.
- Move pre-race activities to more sheltered areas if available.
- Provide eye/respiratory protective options to personnel where appropriate.

### Level 3 — Race Suspension or Cancellation

#### Conditions:

One or more of the following:

- Visibility  $\leq$  ¼ mile or unsafe for racing.
- NWS Dust Storm Warning issued for the track's location.
- Dust clouds crossing the racing surface.
- Regulatory veterinarians confirm unsafe respiratory/ocular conditions.
- Track footing compromised.

#### Required Actions:

- Stewards order suspension or cancellation.
- Horses removed from track to safe, low-dust environments.
- Public, wagering outlets, and participants notified immediately.
- Event log recorded with justification and time stamps.

## 7. Equine Care & Welfare

### 7.1 Pre-Race

- Evaluate horses for respiratory or ocular irritation before racing.
- Provide sheltered warm-up spaces when feasible.
- Permit additional pre-race exam time at veterinarian's discretion.

### 7.2 Post-Race

- Cool-outs must occur in well-ventilated, low-dust areas.
- Flush eyes and nasal passages as needed.
- Observe for coughing, nasal discharge, elevated respiration, or other dust-related symptoms.

### 7.3 Barn & Backstretch Management

- Maintain ventilation and minimize stable-area dust sources.
- Reduce sweeping/vehicle movement during dust events.
- Ensure adequate hydration for horses and personnel.

## 8. Track Surface & Facility Mitigation

- Maintain optimal moisture content on dirt surfaces.
- Use approved dust-suppressing agents when appropriate.
- Maintain vegetation or windbreaks where practical.
- Assess wind-exposed areas for additional protection.
- Conduct annual review of surface material and dust risk.

## 9. Communication Protocols

### 9.1 Internal Communication

- Stewards must immediately notify all key personnel when conditions escalate.
- Radio and emergency channels must remain clear and monitored.

### 9.2 Public & Wagering Communications

Upon delay, suspension, or cancellation:

- Provide public address announcements.
- Update websites, social media, and wagering information systems.
- Offer clear reasoning tied to safety and regulatory compliance.

## 10. Documentation & Reporting

Following any Level 2 or Level 3 event, the Stewards shall file an incident report including:

- Weather and visibility metrics

- Veterinary observations
- Track superintendent assessment
- Time-stamped decision log
- Actions taken
- Recommendations for policy refinement

Reports must be submitted to the Oregon Racing Commission within **72 hours**.

### 11. Training & Annual Review

- Racetrack operators must conduct **annual training** for staff on this policy.
- The ORC will review and update this policy at least **once per year** or following a major dust-related incident.
- Recommendations from Stewards, veterinarians, or operators may initiate mid-season revisions.

### 12. Enforcement

Failure by a race meet licensee or participant to comply with this policy may result in disciplinary action under ORC rules, including:

- Fines
- License suspension
- Revocation of race meet approval

### Appendix A – Quick-Reference Decision Matrix

Condition	Example Indicators	Action
<b>Level 1</b>	Light blowing dust, winds increasing	Increase mitigation, notify personnel
<b>Level 2</b>	Moderate dust, visibility declining	Delay races, increase watering, modify card
<b>Level 3</b>	Visibility $\leq$ ¼ mile, NWS warning, dust clouds on track	Suspend or cancel racing



**OREGON RACING  
COMMISSION**

<b>Oregon Racing Commission</b>	
Title:	Audit Charter Plan
Policy Number:	2026-2-1
Applicability:	All Racing Commission Staff
Reference:	
Effective Date:	February 1, 2026
Approved:	Connie Winn - Executive Director

# EXECUTIVE SUMMARY

The Oregon Racing Commission Audit Charter establishes the authority, scope, and governance structure for all auditing and inspection functions conducted under the Commission's regulatory authority. Pursuant to **ORS Chapter 462** and **OAR Chapter 462**, this Charter defines the standards and responsibilities of the Director of Administration, Director of Mutuels, Supervisor of Mutuels, and Chief Investigator in carrying out financial, operational, information security, and compliance audits across Oregon's racing industry.

The Charter promotes transparency, integrity, and accountability in all wagering and racing operations licensed by the Commission and is adopted by formal vote of the Oregon Racing Commission, effective ~~May~~**February 1, 2026**.

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# 1. VISION AND MISSION

## **Vision**

The Oregon Racing Commission is the go-to source for industry-respected regulations, customer-focused processes, athlete safety and welfare, and empowered excellence in racing.

## **Mission**

The Oregon Racing Commission is dedicated to promoting the highest standards of safety and integrity within the equine racing industry, both on-ground and online. Our mission is to safeguard the welfare of athletes, both human and equine, with a steadfast commitment to the best interests of our citizenry, licensees, participants, and the economy.

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# 2. PURPOSE

This Charter establishes the authority, responsibilities, and framework for the Oregon Racing Commission's audit and assurance functions. It ensures compliance with **ORS Chapter 462** and **OAR Chapter 462**, supports responsible financial management, and reinforces transparency and accountability throughout the regulated racing industry.

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# 3. AUTHORITY

The Oregon Racing Commission derives its authority from **ORS 462.270** and **ORS 462.700–462.740**, which grant the Commission power to regulate, license, and oversee wagering and racing activities within Oregon.

Audit and reporting authority is further detailed in **OAR 462-220-0070(1)– (4)**, granting Commission staff unrestricted access to records, facilities, and financial data, and authorizing the Commission to require annual audited financial statements from licensees.

All audits and inspections under this Charter are performed consistent with these provisions and in accordance with **OAR 462-140-0125(1)– (4)**, empowering the Director of Mutuels to request financial and operational data and to conduct reviews of all wagering activities.

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## 4. ORGANIZATIONAL STRUCTURE AND INDEPENDENCE

The Commission consists of five members, with the Executive Director reporting directly to the Commission. Audit responsibilities are distributed as follows:

Position	Audit Responsibilities	Frequency	Reports To
<b>Director of Administration</b>	Conducts biennial audits of <b>Hub Fund grants</b> ; performs independent reconciliations and deposit verifications but holds <b>no approval authority</b> over expenditures.	Every two years	Executive Director
<b>Director of Mutuels</b>	Conducts <b>annual audits</b> of <b>online wagering companies (ADW Hubs)</b> for financial, IT, and compliance controls; performs <b>daily tote report audits</b> and verifies <b>weekly fee payments</b> from licensees of ADWs	Daily / Annual	Executive Director
<b>Supervisor of Mutuels</b>	Conducts <b>annual audits</b> of <b>pari-mutuel operations</b> at live race meets, fairs, and off-track betting locations; oversees <b>responsible wagering and age verification</b> . Daily notation of tote reports which are audited against weekly payments.	Daily/ Annual	Director of Mutuels
<b>Chief Investigator</b>	Performs inspections of <b>off-track wagering facilities</b> for compliance, operations, and security.	Annual	Executive Director

All discrepancies are **immediately reported to the Executive Director**.

Audit staff operate independently, free from interference, and with full access as authorized under **OAR 462-220-0070(1)**.

## 5. OBJECTIVES

1. Ensure compliance with **ORS Chapter 462** and **OAR Chapter 462**.
  2. Verify accuracy of financial reporting and Hub Fund distribution.
  3. Assess the adequacy of internal controls, risk management, and IT security.
  4. Validate compliance with licensing, responsible wagering, and age verification standards.
  5. Support transparency and continuous improvement in Commission oversight.
- 

## 6. SCOPE OF WORK

Audits and inspections include, but are not limited to:

- **Financial audits:** segregated accounts, tote balances, Hub Fund reconciliation (**OAR 462-220-0070(3)**).
  - **Operational audits:** ADW, off-track, and race meet procedures.
  - **IT and information security:** access authorization, data protection (**OAR 462-210-0030(1)(b)–(c)**).
  - **Compliance audits:** licensing, responsible wagering (**OAR 462-220-0020**), and AML safeguards.
  - **Annual off-track betting (OTB) inspections:** verification of wagering operations per **OAR 462-200-0370(4)** and (8).
- 

## 7. SEPARATION OF DUTIES

To maintain financial integrity:

- The **Director of Mutuels** and **Supervisor of Mutuels** audit and verify wagering and tote reports daily.
  - The **Director of Administration** performs **independent reconciliation** and deposits checks but has **no expenditure authority**.
  - Duties are segregated to prevent any single individual from controlling financial transactions from start to finish.
  - This separation is consistent with **OAR 462-140-0125** and the Commission's internal controls.
-

## 8. REPORTING AND ESCALATION

All discrepancies, compliance issues, or operational irregularities must be reported immediately to the **Executive Director** and documented.

Outages or operational issues affecting wagering operations, data integrity, or customer access must be reported in compliance with the following rules:

- **OAR 462-220-0070(2) (a-c)** — 48-hour reporting of hub closures and transmission failures, immediate reporting of irregularities.
- **OAR 462-210-0040(10)** 48-hour written report if the account wagering center is closed.
- **OAR 462-200-0110(1)– (2)** — Immediate emergency reporting by the pari-mutuel manager to the Supervisor of Mutuels.
- **OAR 462-200-0370(4) & (8)** Timely problem reporting and data-loss procedures for off-track betting locations.

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## 9. AUDIT STANDARDS AND METHODOLOGY

Audits are conducted in accordance with:

- **Generally Accepted Government Auditing Standards (GAGAS),**
- **ORS Chapter 462** and **OAR Chapter 462**, and
- State of Oregon internal control and IT security policies.

Methodology includes risk assessment, sampling, data verification, interviews, and system testing. Documentation follows **OAR 462-220-0070(4)** for recordkeeping and audit accessibility.

## **10. AUDIT DOCUMENTATION AND RETENTION**

All audit documentation, including reports, workpapers, and supporting data, shall be maintained for **(10) years with the exception of OTB Inspections which is (5) years** or as otherwise required under the **Oregon Public Records Law (ORS 192)**.

Records are securely stored, with digital files protected under state cybersecurity and confidentiality policies.

A copy of all audits must be submitted to the Executive Director for review and sign off before final filing.

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## **12. REVIEW AND ADOPTION**

This Audit Charter is adopted by formal vote of the **Oregon Racing Commission** and will be **reviewed every two years** as required.

Updates will reflect changes in applicable laws, administrative rules, or Commission structure.

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## 12. REVISION HISTORY

<b>Version</b>	<b>Date</b>	<b>Description</b>	<b>Approved By</b>
1.0	Jan 1, 2025	Initial Charter Adoption	Oregon Racing Commission

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## **13. APPENDIX A – APPLICABLE ORS AND OAR PROVISIONS**

**ORS 462.270** – Duties and powers of the Commission.

**ORS 462.700–462.740** – Multi-jurisdictional simulcasting and wagering; regulatory oversight.

**OAR 462-140-0125** – Duties of the Director of Mutuels, authority to request audits and reports.

**OAR 462-200-0110** – Emergency procedures and reporting requirements.

**OAR 462-200-0370(4) & (8)** – Reporting of problems and data loss at off-track facilities.

**OAR 462-210-0030** – Account wagering: identity verification and reporting obligations.

**OAR 462-210-0040(10)** – Reporting of hub closures.

**OAR 462-220-0070(1)–(4)** – Commission audit access, reporting, and record requirements.

**ORS 192** – Public Records retention requirements.

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# Oregon Racing Commission Disaster Recovery Plan

## 1. Purpose and Scope (Aligned with COOP)

This Disaster Recovery Plan (DRP) directly supports and aligns with the Oregon Racing Commission's Continuity of Operations Plan (COOP). The COOP establishes enterprise-wide expectations for continuity, while this DRP provides the detailed IT, system, vendor, remote-work, and operational restoration procedures enabling the ORC to meet its COOP obligations.

This DRP specifically fulfills COOP Sections **7 (Disaster Recovery Planning)** and **9 (Essential Functions)** by outlining the technical and operational recovery steps necessary to:

- Restore essential functions within COOP-mandated Recovery Time Objectives (RTOs).
- Support remote work and alternative site relocation as outlined in COOP Section 7 (Loss of Facility, Loss of Power, Loss of IT/Network).
- Maintain operations for the required **30-day continuity window** specified in COOP Section 1.
- Coordinate with DAS, Cascade Technology Alliance, Verizon, and other partners identified in the COOP.

The plan also integrates COOP roles, responsibilities, succession, recovery priorities, and reconstitution steps as described in COOP Sections **8, 9, and 10**. This Disaster Recovery Plan (DRP) establishes the Oregon Racing Commission's (ORC) policies, procedures, and responsibilities for restoring critical operations following a disruption. It covers technological, operational, and communication-based recovery actions affecting:

- Licensing and regulatory operations
- Remote work capabilities
- IT infrastructure and support
- Commission oversight functions
- Wagering oversight and fair meet interaction
- Online wagering company audits

This DRP applies to all ORC employees, contractors, and third-party service providers.

---

## 2. Critical Partners and Responsibilities

### 2.1 Cascade Technology Alliance (CTA)

CTA is responsible for IT assistance, including:

- Workstation setup and configuration
- New account creation and access provisioning
- Emergency troubleshooting for end-user devices
- Assistance with Microsoft 365 access issues

## **2.2 Department of Administrative Services (DAS)**

DAS provides enterprise-level support, including:

- Server hosting (ORC licensing database servers located in Salem, OR)
- Data backups and restoration
- Enterprise security monitoring
- Network infrastructure support for state systems

## **2.3 Verizon Wireless**

Verizon provides mobile communications services:

- Agency-issued cell phones
- Hotspot and mobile data services for remote work
- Replacement devices in emergencies

## **2.4 United Tote (Fair Meets)**

United Tote supports wagering terminals and pari-mutuel systems at fair meets:

- Tote system functionality
- On-site wagering operations
- Communications with ORC on system outages

---

# **3. Key Systems and Dependencies**

## **3.1 Licensing Database (Hosted in Salem)**

- Mission-critical system for issuing and validating racing and wagering licenses.
- Accessible remotely via secure state network.
- DAS maintains hardware, backups, and recovery.

## **3.2 Microsoft Outlook and Office Suite**

- Managed under Oregon state M365 enterprise environment.

- Essential for administrative, regulatory, and investigative duties.

### **3.3 ORC Website (PowerPoint-Based System)**

- Managed internally and hosted on state infrastructure.
- Provides public notices, racing information, rules, and license materials.

### **3.4 Network Drives (Separation of Duties)**

- “X: Drive”: Administrative, licensing, operations
- “Y: Drive”: Investigations, auditors, stewards, and restricted documents
- Hosted on DAS servers with standard state security protocols

### **3.5 Remote Work Environment**

- Default working model for staff when racing is not in session.
- Dependent on Microsoft 365, VPN access, and Verizon connectivity.

### **3.6 Auditor Travel for Multi-jurisdictional Reviews**

- Requires access to:
    - Licensing records
    - Regulatory audit checklists
    - Secure communications
    - Remote system access
- 

## **4. Risk Assessment**

### **4.1 Natural Hazards**

- Earthquake disrupting Salem-based server infrastructure
- Wildfire affecting employees or communications
- Severe weather restricting travel or damaging utilities

### **4.2 Technology Hazards**

- Server outages (licensing database unavailable)
- Cyberattacks on state systems
- Loss of VPN or Microsoft 365 access
- Hardware failures (laptops, phones)

### **4.3 Operational Hazards**

- Failure of United Tote wagering systems
- Loss of mobile communication during travel audits
- Human error affecting licensing or wagering operations

#### 4.4 Vendor/Dependency Failures

- CTA service interruption
  - DAS network or backup failure
  - Verizon network outage
- 

## 5. Disaster Recovery Objectives

### 5.1 Recovery Time Objective (RTO)

The maximum acceptable downtime:

- Licensing database: **24 hours**
- Network drives: **24 hours**
- Email/M365 access: **8 hours**
- Remote work capability: **8 hours**
- Website availability: **48 hours**
- Wagering system integrity: **Immediate notification; rapid restoration via United Tote**

### 5.2 Recovery Point Objective (RPO)

Maximum acceptable data loss:

- Licensing records: **0–12 hours** (DAS backups)
  - Administrative documents: **24 hours**
  - Audit fieldwork: **Local device copy required**
- 

## 6. Disaster Response Procedures

### 6.1 Initial Response Steps

1. **Ensure personal safety**
2. **Assess the situation** (impact, duration, systems affected).
3. **Notify leadership** (Executive Director, Chairs, key staff).
4. **Activate DRP** if a critical system is impacted.
5. **Document all events** from the moment the disruption is identified.

## **6.2 Communication Protocols**

- Primary: Verizon mobile/text
- Secondary: Outlook email
- Tertiary: Microsoft Teams chat
- Emergency: DAS Service Desk Alerts

## **6.3 If State Systems Are Down (DAS Outage)**

- Contact DAS Enterprise Helpdesk
- Cascade Technology Alliance assists employees with alternative connectivity
- Temporary manual licensing procedures may be authorized

## **6.4 If Workstation or Laptop Fails**

- Advise Sr. Management
- Contact CTA for immediate replacement/repair
- Staff member switches to backup device if available

## **6.5 If Verizon Network Is Down**

- Use Wi-Fi internet if available
- Use Microsoft Teams for calls
- Notify Verizon for device/service outage reporting

## **6.6 If Licensing Database Fails**

- Advise Sr. Management
- DAS restores from most recent backup
- Manual paper licensing procedures begin
- Stewards, investigators, and auditors notified
- Resume operations once restored

## **6.7 If Website Fails**

- Advise Sr. Management
- Contact Tyler web hosting and communications team
- Public notices distributed via:
  - Email
  - Social media
  - Fair meet coordinators

---

# **7. Fair Meets and Wagering Disaster Procedures**

## 7.1 United Tote System Disruption

- Immediate notification to ORC
- Tote system backup procedures initiated
- Stewards and Executive Director notified
- Manual wagering may be prohibited depending on severity

## 7.2 ORC Presence and Oversight

- Investigators and veterinarians maintain radio/phone communications
  - Race meet may be paused depending on system impact
- 

# 8. Remote Work Disaster Procedures

## 8.1 Loss of Remote Access

- Attempt alternate internet (hotspot, public Wi-Fi where safe)
- CTA troubleshooting
- DAS VPN/remote access ticket opened

## 8.2 Employee Location Issues

- Employees report inability to work to supervisor
- Determine whether essential functions need reassignment

## 8.3 Loss of Statewide Microsoft 365 Access

- DAS announces outage windows
  - Use Verizon/texting for urgent coordination
- 

# 9. Continuity for Traveling Auditor (Aligned with COOP Essential Functions)

Per the COOP's Essential Functions Table (page 8), the ORC auditor's responsibilities fall under **Financial Operations, Regulation Enforcement, and Incident Reporting**. This DRP section aligns recovery steps to ensure those essential functions remain operational.

## 9.1 During Multi-jurisdiction Audits

- Auditor maintains encrypted local copies in alignment with COOP directives on vital records.
- Remote access through DAS-hosted systems supports continued enforcement and financial oversight functions.

## **9.2 Travel Disruption Procedures**

- Supports COOP emphasis on alternate locations (including mobile/remote).

## **9.3 Loss of Communication**

- Aligns with COOP Section 6 Emergency Communication procedures.

## **9.1 During Multi-jurisdiction Audits**

- Auditor maintains local encrypted copies of necessary documents
- VPN and M365 availability required for real-time updates

## **9.2 Travel Disruption Procedures**

- Reschedule audits as appropriate
- Maintain communication with wagering company representatives

## **9.3 Loss of Communication**

- Auditor contacts ORC leadership via:
    - Alternate phone
    - Hotel/airport communications
    - Email when restored
- 

# **10. Recovery Procedures**

## **10.1 Licensing Database Restoration**

- DAS restores server and validates integrity
- ORC verifies:
  - License statuses
  - Recent transactions
  - Pending applications

## **10.2 Document Repository (Network Drives)**

- DAS restores directories from backup

- ORC staff verify:
  - Access controls
  - File integrity
  - Missing items

### **10.3 Website Recovery**

- Validate restored content
- Issue public update on status

### **10.4 Mobile and Workstation Recovery**

- CTA issues replacements as needed
  - Verify remote access, MFA, and email
- 

## **11. Resumption of Normal Operations**

- Leadership declares end of disaster period
  - Teams return to normal procedures
  - Incident report completed
  - After-action review conducted within 10 business days
- 

## **12. Testing, Training, and Maintenance**

### **12.1 Annual Testing**

- Licensing database recovery test (DAS-led)
- Remote work simulation
- Website restoration drill
- Table-top exercises

### **12.2 Training Requirements**

- All employees complete annual DRP training
- IT partners included when appropriate

### **12.3 Document Maintenance**

- Updated annually or upon major system change
- Managed by Commission leadership

---

## 13. COOP–DRP Crosswalk Alignment Table

This table maps each major section of the Disaster Recovery Plan (DRP) to the corresponding Continuity of Operations Plan (COOP) sections from the ORC COOP V3.4 (Revised May 27, 2025) [filecite](#) [turn0file0](#).

DRP Section	COOP Section	Alignment Summary
Purpose & Scope	COOP 1, 4	Ensures DRP supports COOP goals: continuity of essential functions, safety of employees, protection of assets.
Critical Partners	COOP 7, 8	Aligns vendor responsibilities with COOP disaster recovery and staffing structure.
Key Systems & Dependencies	COOP 7, 9	Mirrors COOP Essential Functions Table (e.g., licensing database, communication tools, regulatory systems).
Risk Assessment	COOP 1, 7	DRP hazards match COOP hazard assumptions including natural, tech, cyber, and operational disruptions.
DR Objectives (RTO/RPO)	COOP 9	Reflects COOP recovery time requirements for essential functions.
Disaster Response Procedures	COOP 6, 7, 11	Maps communication, loss of IT, loss of facility, loss of workforce, and activation processes.
Remote Work Disaster Procedures	COOP 7	Incorporates remote & alternate location procedures described under Loss of Facility and Loss of IT.
Auditor Continuity	COOP 9	Maps to enforcement, financial oversight, and incident reporting essential functions.
Recovery & Reconstitution	COOP 10, 12	Follows COOP guidelines for transitioning back to normal operations and devolution triggers.

---

## 14. Unified Activation → Continuity → Reconstitution Workflow

This workflow integrates COOP Sections 7–12 with the technical procedures in the DRP.

### 14.1 Activation (COOP Sections 6, 7, 11)

#### Triggered by:

- Loss of facility, power, IT/network, or workforce (COOP p. 5–7)
- Cyberattack affecting licensing database or shared drives
- Verizon or DAS statewide outage

## **Actions:**

1. Leadership initiates communication via phone tree, Teams, and Outlook as available.
  2. Executive Director activates DRP/COOP simultaneously.
  3. Staff report status and resource needs.
  4. Cascade Technology Alliance and DAS are contacted for IT triage.
  5. Begin manual procedures for licensing, enforcement, or wagering if required.
- 

## **14.2 Continuity Operations (COOP Sections 7 & 9)**

Ensure ORC can maintain all **Mission Essential Functions (MEFs)** for up to 30 days.

Key continuity procedures:

- **Remote Work:** Staff relocate to safe home offices or DAS alternate sites (Grants Pass, Medford, Portland), consistent with COOP p. 5.
  - **IT Recovery:** DAS restores servers, backups, and state systems; CTA restores workstations.
  - **Communications:** Verizon mobile, Teams, and Everbridge used per COOP Section 6.
  - **Manual Licensing:** Activated when database downtime exceeds 24 hours.
  - **Wagering Oversight:** United Tote procedures followed for onsite disruptions.
  - **Traveling Auditor:** Maintains regulatory continuity using encrypted local files and remote tools.
- 

## **14.3 Reconstitution (COOP Section 10)**

When primary systems, facilities, and leadership are restored:

1. ORC leadership issues formal reconstitution notice.
  2. DAS assists with restoring any relocated hardware or servers.
  3. Manual work is entered retroactively into digital systems.
  4. Staff return to normal work locations or permanent remote offices.
  5. ORC conducts an After-Action Review (AAR) and implements improvements.
- 

## **15. Brand, Formatting, and Presentation Requirements (Per**

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## **12. Appendices**

## **Appendix A: Executive Activation Checklist**

1. Assess incident type (Loss of IT, Facility, Power, Workforce).
2. Activate COOP/DRP and notify leadership.
3. Initiate phone tree and Teams channels.
4. Confirm staff safety and availability.
5. Contact DAS, CTA, Verizon as applicable.
6. Authorize manual licensing if needed.
- 7.
8. Communicate with fair meets and wagering partners.

## **Appendix B: Licensing Outage Manual Procedure**

- Switch to paper license forms.
- Verify identity via OSP background access if online.
- Issue temporary credentials valid until system restoration.
- Scan and store forms for later entry into Laserfiche.

## **Appendix C: IT Outage Runbook**

- Step 1: Notify DAS Enterprise Helpdesk.
- Step 2: CTA triage workstation issues.
- Step 3: Verify VPN, M365, drives.
- Step 4: If >1 week outage, transition to full manual workflows.
- Step 5: Document downtime and restoration.

## **Appendix D: Race-Day Recovery Annex (Stewards & Veterinarians)**

- Maintain radio and phone communication.
- If tote system down, hold racing temporarily.
- Ensure animal welfare monitoring continues manually.
- Document all regulatory actions.

## **Appendix E: Traveling Auditor Continuity Annex**

- Maintain encrypted local copies of audit tools.
- Use hotel or airport internet if required.
- Notify ORC if communication lost >4 hours.
- Store completed audit work offline until upload possible.

## **Appendix F: Communication Templates**

- Outage Notification
- Restoration Notice
- Public Advisory \*\*
- Appendix A: Contact Directory

- Appendix B: Manual Licensing Procedure
- Appendix C: Critical Vendor SLA Summary
- Appendix D: Remote Work Resources
- Appendix E: DRP Activation Checklist

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**BEFORE THE  
OREGON RACING COMMISSION  
STATE OF OREGON**

In the Matter of:

Agency Case Nos.: SC25-046, GPD25-054

**RICARDO MARILES-SANTOS**

**FINAL ORDER BY DEFAULT  
SUSPENDING LICENSE; IMPOSING  
CIVIL PENALTIES, AND  
NOTICE OF RIGHT TO APPEAL**

Respondent.

On November 24, 2025, the Oregon Racing Commission (Commission) issued a *Notice of Intent to Suspend License for Three Years; Impose Civil Penalties; and Impose Costs* along with *Answer Required, Notice of Opportunity for a Hearing* and a *Notice to Active Duty Service Members* (collectively hereafter referred to as the “Notice”) to Ricardo Mariles-Santos (Respondent). The Notice provided that in the event Respondent did not timely request a hearing, the Commission shall issue a Final Order by Default and impose the proposed penalty, in accordance with ORS 183.417(4).

The Notice was served upon Respondent addressed to his address of record on November 24, 2025 by regular and certified U.S. mail. Pursuant to ORS 462.405(4), Respondent had 10 days from the date of the Notice to submit a request for hearing. Respondent did not submit a request for hearing.

**NOW, THEREFORE**, after consideration of the records and files of the Commission relating to this matter, including all materials submitted by Respondent, the Commission makes the following findings of fact and conclusions of law, and issues the following *Final Order By Default Suspending License; Imposing Civil Penalties*.

**FINDINGS OF FACT**

1. The Oregon Racing Commission (Commission) is the state agency responsible for licensing and regulating horse race meets, participants, and personnel in Oregon, including trainers, pursuant to ORS Chapter 462 and OAR Chapter 462. The Commission

1 is the state agency responsible for licensing, regulating, and supervising all race meets in  
2 the State of Oregon. *See generally* ORS 462.010 - 462.990; OAR chapter 462; *see*  
3 *specifically* ORS 462.010(8), (12); ORS 462.020(2), (5); ORS 462.090(1), (5); ORS  
4 462.250(3), (5); ORS 462.405(1), (4); ORS 462.415(1), (4); OAR 462-140-0320(1).

5 2. Respondent is licensed by the Commission as a trainer, License No. 28623. Respondent  
6 has been licensed since October 8, 2023. The last address Respondent provided to the  
7 Commission is 28493 Peckham Road, Wilder, ID 83676.

8 3. The Commission has jurisdiction over the Respondent pursuant to the statutes cited in  
9 paragraph 1.

10 4. The Commission appoints for each race meet stewards, deputy stewards, stewards'  
11 reporters, auditors, judges, inspectors, security personnel, chemists, veterinarians, plate  
12 inspectors and such other officials as are necessary for the proper conduct of the race.  
13 ORS 462.250(3).

14 5. Respondent was the trainer of Quarter Horse filly "Hunny Moon." Respondent entered  
15 the horse into the second race at the Eastern Oregon Livestock Show held on June 8,  
16 2025 in Union, Oregon.

17 6. "Hunny Moon" finished first in the race. The horse was taken to the test barn for post-  
18 race testing. The test sample was assigned control # PR03517.

19 7. Urine sample #PR03517 was tested by the University of California Davis testing  
20 laboratory, which is the official testing laboratory for the Oregon Racing Commission.  
21 The sample was found to contain Mephentermine, a class 1 drug.

22 8. Respondent declined the opportunity to have the split sample tested by a referee  
23 laboratory.

24 9. The Stewards notified Respondent of a hearing before the Board of Stewards on July 9,  
25 2025. Respondent appeared at the hearing.

26

1 10. The Board of Stewards issued Stewards' Ruling number SC25-046 on July 12, 2025,  
2 related to this matter. The Ruling was sent via certified mail to Respondent on July 14,  
3 2025.

4 11. The Stewards ruled that Respondent violated ORS 462.415 for allowing a horse to  
5 participate in a race when it possessed a drug in its system on race day. The Stewards  
6 found that having committed this violation, the purse must be redistributed per ORS  
7 462.415(4). The Stewards then imposed a penalty of \$500 and suspended Respondent for  
8 365 days of racing from July 13, 2025 through July 12, 2026, both days inclusive.  
9 During the suspension, Respondent is ruled off all racetracks in Oregon, frontside and  
10 backside, all off-track wagering sites, and all other premises under the jurisdiction of the  
11 Oregon Racing Commission. The Stewards also ruled that "Hunny Moon" be declared  
12 unplaced in the second race of the Eastern Oregon Livestock Show on June 8, 2025.

13 12. Respondent did not request a hearing related to Stewards' ruling SC25-046.

14 13. The Stewards referred the ruling to the Commission because the Stewards were limited  
15 by statute in the penalty that could be imposed and recommended that the penalties  
16 should be aligned with the Uniform Classification Guidelines for Foreign Substances and  
17 Recommended Penalties Model Rule adopted by the Association of Racing  
18 Commissioners International, Inc. (ARCI).

19 14. Respondent was the trainer of Quarter Horse colt "Tempting Look." Respondent entered  
20 the horse into the seventh race at Grants Pass Downs on July 5, 2025.

21 15. "Tempting Look" finished third in the race. The horse was taken to the test barn for  
22 post-race testing. The test sample was assigned control # PR03595.

23 16. Blood and urine sample #PR03595 was tested by the University of California Davis  
24 testing laboratory, which is the official testing laboratory for the Oregon Racing  
25 Commission. The urine sample was found to contain Mephentermine, a class 1 drug.

26

- 1 17. Respondent declined the opportunity to have the split sample tested by a referee  
2 laboratory.
- 3 18. The Stewards notified Respondent of a hearing before the Board of Stewards on  
4 September 3, 2025. Respondent appeared at the hearing.
- 5 19. The Board of Stewards issued Stewards' Ruling number GPD25-054 on September 4,  
6 2025 related to this matter. The Ruling was mailed via certified mail on September 5,  
7 2025.
- 8 20. The Stewards ruled that Respondent violated ORS 462.415 for allowing a horse to  
9 participate in a race when it possessed a drug in its system on race day. The Stewards  
10 then imposed a penalty of \$500 and suspended Respondent for 365 days of racing from  
11 July 13, 2026, through July 12, 2027, both days inclusive. During the suspension,  
12 Respondent is ruled off all racetracks in Oregon, frontside and backside, all off-track  
13 wagering sites, and all other premises under the jurisdiction of the Oregon Racing  
14 Commission. The Stewards also ruled that "Tempting Look" be declared unplaced in the  
15 seventh race at Grants Pass Downs on July 5, 2025.
- 16 21. Respondent did not request a hearing relating to Stewards' ruling GPD25-054.  
17 Respondent paid the civil penalty via money order on September 15, 2025.
- 18 22. The Stewards referred the ruling to the Commission because the Stewards were limited  
19 by statute in the penalty that could be imposed and recommended that the penalties  
20 should be aligned with the Uniform Classification Guidelines for Foreign Substances and  
21 Recommended Penalties Model Rule adopted by the ARCI.
- 22 23. On October 16, 2025, the Commission considered the Stewards' referrals. Based on the  
23 foregoing, including the Stewards' Ruling Nos. SC25-046 and GPD25-054, which by this  
24 reference are incorporated herein, the Commission proposes that Respondent used  
25 Mephentermine in violation of ORS 462.415 on two separate occasions. Because ORS  
26

1 462.415 was violated, the animals shall be disqualified and the order of finish revised and  
2 the purse redistributed.

3 24. For each violation, the Commission proposed to suspend Respondent's license for a  
4 period of three years pursuant to ORS 462.405(4); however, the suspensions may be  
5 served concurrently. During the suspension, Respondent is ruled off all race tracks in  
6 Oregon, frontside and backside, all off-track wagering sites, and all other premises under  
7 the jurisdiction of the Oregon Racing Commission, as allowed by OAR 462-130-  
8 0010(5).<sup>1</sup> The Commission also proposes a \$1,000 civil penalty for each violation.  
9 Pursuant to ORS 462.405(4), the Commission is not limited in its actions or in the  
10 sanctions it may impose by any ruling of the board of stewards or by any limitation  
11 imposed upon the board of stewards by commission rule or regulation.

### 12 13 **CONCLUSIONS OF LAW**

14 1. Pursuant to OAR 137-003-0670(1)(a) and (3)(b), the Commission may issue a final order  
15 by default if it issued a notice of proposed action that does not become final in the  
16 absence of a request for hearing and the agency gave a party an opportunity to request a  
17 hearing and the party failed to request a hearing within the time allowed to make the  
18 request, and the Commission designated its file in the matter as the record when the  
19 contested case notice was issued and no further testimony or evidence is necessary to  
20 establish a prima facie case. The Commission must notify the defaulting Licensee of the  
21 entry of a final order by default by delivering or mailing a copy of the order. OAR 137-  
22 003-0670(4).

23 2. Respondent is in default because he did not request a hearing within the time allowed to  
24 make the request.

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25 <sup>1</sup> OAR 462-130-0010(5) provides that "[w]hen grounds exist for suspension of a license, the stewards or  
26 commission may also impose other appropriate sanctions including, but not limited to, forfeiture of purse, return of  
prizes, ruling off, or forbidding entry of racing animals." "Ruled Off" means "the act of barring a person or horse  
from the grounds of a race meet licensee and denying all racing and other privileges." OAR 462-110-0010(79)

- 1 3. The Commission may issue a final order by default.
- 2 4. The Commission appoints for each race meet stewards, deputy stewards, stewards’  
3 reporters, auditors, judges, inspectors, security personnel, chemists, veterinarians, plate  
4 inspectors and such other officials as are necessary for the proper conduct of the race.  
5 ORS 462.250(3).
- 6 5. The Commission appoints a Board of Stewards for a race meet. ORS 462.250(5).
- 7 6. ORS 462.250(5)(b) specifically provides that:  
8 The board of stewards shall, under the supervision and direction of the  
9 commission, enforce the provisions of this chapter, the rules and regulations of  
10 the commission and the customs of the course at the race meet for which it is  
11 appointed and in such enforcement may exercise such power and authority of the  
12 commission as the Commission may by regulation prescribe.
- 13 7. ORS 462.405(1) provides that, “[t]he board of stewards...may, after an inquiry and  
14 hearing, impose appropriate sanctions for failure to comply with the laws and rules of  
15 racing and with the authorized commission or board directives applicable to said race  
16 meet....” OAR 462-140-0060(8) provides that the stewards have authority to impose  
17 penalties and sanctions under the procedures set forth in ORC’s rules for violations of  
18 ORS Chapter 462.
- 19 8. ORS 462.405(4) states that the Commission is not limited in its actions or in the sanctions  
20 it may impose by any ruling of the board of stewards or by any limitation imposed upon  
21 the board of stewards by commission rule or regulation.
- 22 9. OAR 462-140-0320 provides that:  
23 (1) The trainer shall be responsible for and shall be the absolute insurer of the  
24 condition of horses entered in an official workout or race, regardless of the acts of  
25 third persons.  
26

1 (a) The trainer is responsible for the presence of any prohibited drug, medication  
2 or other substance, including permitted medication in excess of the maximum  
3 allowable level, in such horses. A positive test for a prohibited drug, medication  
4 or substance, including permitted medication in excess of the maximum allowable  
5 level, as reported by a commission approved laboratory, is prima facie evidence  
6 of a violation of this rule.

7 10. ORS 462.415 provides that:

8 (1) An animal may not participate in any race if:

9 (a) Less than 24 hours before post time the animal has been administered any drug  
10 that is prohibited by the Oregon Racing Commission.

11 (b) The animal possesses in its system, on race day, either prior to or at the time  
12 of the race any drug detected by any of the testing methods approved by the  
13 commission or customarily employed in the testing of urine, saliva, blood or other  
14 samples from racing animals.

15 \*\*\*\*\*

16 (4) An animal that participates in violation of subsection (1) of this section shall  
17 be disqualified and the order of finish revised. If the animal is disqualified, its  
18 owner may not share or participate in any purse, earnings, trophies or other  
19 emoluments of the race. Any revision in the order of finish after a race has been  
20 declared “official” by the stewards does not affect the mutuel payoff to the public.

21 11. Respondent was the trainer of “Hunny Moon,” a Quarter Horse, and was responsible for  
22 the presence of any prohibited drug, medication or other substance pursuant to OAR 462-  
23 140-0320(1)(a).

24 12. Respondent used Mephentermine in violation of ORS 462.415(1).

25 13. Pursuant to ORS 462.415(4), “Hunny Moon” is disqualified from the race, the order of  
26 finish revised, and the purse redistributed pursuant to ORS 462.415(4).

1 14. Respondent was the trainer of “Tempting Look,” a Quarter Horse, and was responsible  
2 the presence of any prohibited drug, medication or other substance pursuant to OAR 462-  
3 140-0320(1)(a).

4 15. Respondent used Mephentermine in violation of ORS 462.415(1).

5 16. Pursuant to ORS 462.415(4), “Tempting Look” is disqualified from the race, the order of  
6 finish revised, and the purse redistributed pursuant to ORS 462.415(4).

7 17. Pursuant to the above cited facts and laws, the Commission may suspend Respondent’s  
8 license and impose civil penalties.

9  
10 **ORDER**

11 **Now, therefore, the Commission hereby Orders that:**

12 Based on the foregoing facts and law, the Commission suspends Respondent’s license for  
13 a period of three years from the date of this final order pursuant to ORS 462.405(1), (4). The  
14 Commission imposes a civil penalty of \$1,000 for each violation of ORS 462.415(1), for a total  
15 of \$2,000.

16 Quarter Horse “Hunny Moon” is disqualified from the first race of the Eastern Oregon  
17 Livestock Show on June 8, 2025, the order of finished revised, and the purse redistributed  
18 pursuant to ORS 462.415(4). Quarter Horse “Tempting Look” is disqualified from the seventh  
19 race at Grants Pass Downs on July 5, 2025.

20 During the suspension, Respondent is ruled off all race tracks in Oregon, frontside and  
21 backside, all off-track wagering sites, and all other premises under the jurisdiction of the Oregon  
22 Racing Commission, as allowed by OAR 462-130-0010(5).

23  
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1 **NOTICE OF RIGHT TO APPEAL**

2 You are entitled to judicial review of this Order. Judicial review may be obtained by  
3 filing a petition for review within 60 days from the date of service of this order. Judicial review  
4 is to the Oregon Court of Appeals, pursuant to the provisions of ORS 183.482.

5  
6 DATED this 19th day of February 2026.

7 OREGON RACING COMMISSION

8  
9 By: \_\_\_\_\_  
10 Margaret Doherty, Commission Chair

**CERTIFICATE OF SERVICE**

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I hereby certify that on the \_\_\_\_\_ day of February, 2026, I served the Final Order by Default upon Respondent Ricardo Mariles-Santos by depositing a true copy in a sealed envelope sent by regular and certified mail, addressed as follows:

Ricardo Mariles-Santos  
28493 Peckham Road  
Wilder, ID 83676

Dated this \_\_\_\_\_ day of February, 2026.

\_\_\_\_\_  
Karen Parkman  
Oregon Racing Commission

cc: Board of Stewards, ORC  
Investigators, ORC  
Kelly K. Routt, Sr. AAG