

PART 2 - TRAINER'S LICENCES AND PERMITS FROM THE AUTHORITY

CHAPTER 1 - OBTAINING A LICENCE OR PERMIT

Grant, refusal or withdrawal

3. Licences to train granted by the Authority

3.1 A licence to train horses may be granted by the Authority subject to such restrictions or conditions as it considers appropriate.

3.2 A trainer's licence may be granted to allow a Person to train any horse for entry in

3.2.1 flat races,

3.2.2 steeple chases, hurdle races and National Hunt Flat Races, or

3.2.3 both.

4. Permits to train granted by the Authority

4.1 A permit to train horses may be granted by the Authority subject to such restrictions or conditions as it considers appropriate.

4.2 A trainer's permit may be granted to allow a Person to train horses which

4.2.1 are the sole property of one or more of the categories of Persons listed in Paragraph 3, and

4.2.2 may be entered for or run in steeple chases, hurdle races or National Hunt Flat Races only.

4.3 The categories of Persons listed in this Paragraph are

4.3.1 the holder of the permit;

4.3.2 his spouse or civil partner;

4.3.3 his parents or grandparents;

4.3.4 his sons or daughters;

4.3.5 his grandchildren;

4.3.6 his brothers or sisters;

4.3.7 a Person who appears to the Authority to be co-habiting with the holder of the permit by reason of a personal relationship; and

4.3.8 the executors or administrators for any of the above.

4.4 For the purposes of Paragraph 4.2.1 the horse must be free of all leases or other joint arrangements apart from those between the Persons for whom the permit holder is entitled to train.

4.5 A Permitted Trainer must, at the request of the Authority at any time, produce evidence of ownership of all horses that are currently, or have been within 12 months preceding the request, under his care or control to satisfy the Authority of the provision specified at Paragraph 4.2.1 of this Rule.

4.6 Where a Permitted Trainer is unable to, or fails to, provide evidence as specified in Paragraph 4.5 of this Rule, he shall be taken to have contravened a requirement imposed on him under these Rules and will be liable to Disciplinary Action.

5. Initial application for licence or permit

5.1 A Person who applies for a trainer's licence or a trainer's permit must use the Prescribed form.

5.2 Procedures for the consideration and determination of applications are set out in Schedule (A)9.

5.3 The initial application must be received at the Authority's office at least 2 months before the date on which the licence or permit will be required.

5.4 No licence or permit may be granted unless the applicant meets the criteria and other requirements as may be established by the Authority from time to time.

5.5 At any time after receiving an initial application under this Rule and before determining it, the Authority may require an applicant to

5.5.1 attain a National Vocational Qualification (NVQ) at Level 3 in Racehorse Care and Management,

- 5.5.2 satisfactorily complete the Authority's training course in 'Racehorse Management',
- 5.5.3 satisfactorily complete the Authority's training courses in 'Business Skills' and 'Staff Management', or
- 5.5.4 show that he has already completed a training course which is approved by the Authority or otherwise acceptable to it.

5.6 Nothing in Paragraph 5.5 restricts any other requirements that the Authority may impose.

6. Expiry and renewal of licence or permit

- 6.1 A trainer's licence or permit expires at the end of the period stated on it.
- 6.2 The holder of a licence or permit may apply for it to be renewed using the Prescribed form.
- 6.3 Procedures for the consideration and determination of applications are set out in Schedule (A)9.
- 6.4 The renewal application must be received at the Authority's Office at least 1 month before the date on which the licence or permit will be required.
- 6.5 A licence or permit may be renewed subject to such restrictions or conditions as the Authority considers appropriate and the restrictions or conditions may differ from those previously imposed.

7. Circumstances in which licence or permit ceases to be valid

7.1 A Person shall be taken to have contravened a requirement imposed on him by these Rules if he continues to train in Great Britain horses running under the Rules after his licence or permit has ceased to be valid.

7.2 A trainer's licence or permit shall immediately cease to be valid if

7.2.1 the licence or permit

- 7.2.1.1 expires and is not renewed,
- 7.2.1.2 is withdrawn by the Authority, or
- 7.2.1.3 is suspended by the Authority; or

7.2.2 the holder of the licence or permit

- 7.2.2.1 relinquishes it,
- 7.2.2.2 is declared to be a Disqualified Person, or
- 7.2.2.3 changes stables before he has notified the Authority of the change and obtained its written approval.

7.3 Paragraph 7.2.2.2 does not apply where

7.3.1 a trainer's disqualification was incurred under Rule (A)66 (person whose name appears on the Forfeit List), and

7.3.2 not more than 14 days have elapsed since the date of publication of the arrears in the Forfeit List.

8. Fees for grant and renewal of licence or permit

8.1 An application under this Part for the grant or renewal of a trainer's licence or permit must be accompanied by the appropriate fee and any VAT payable.

8.2 The fees payable shall be such as the Authority may from time to time determine.

8.3 A sum of such amount as the Authority considers appropriate shall be taken from each fee it receives for a licence or permit and shall be allocated by the Authority to such racing charities as it considers appropriate.

Temporary licences

9. Temporary licences

9.1 The Authority may grant a temporary licence

- 9.1.1 in the event of the death or injury of the holder of a trainer's licence, or
- 9.1.2 in such other circumstances as the Authority considers appropriate.

9.2 The Authority may at any time withdraw a temporary licence if it considers it appropriate to do so.

9.3 The holder of a temporary licence granted under Paragraph 9.1.1

9.3.1 must assume all the obligations and responsibilities of the deceased or injured trainer, and

9.3.2 may at any time apply to the Authority for a trainer's licence.

9.4 Where a trainer's licence (the original licence) is replaced by a temporary licence

9.4.1 the original licence shall

9.4.1.1 immediately cease to be valid, and

9.4.1.2 resume effect only on the withdrawal of the temporary licence or in accordance with any directions given by the Authority, and

9.4.2 the temporary licence shall continue to be valid until it is withdrawn under Paragraph 9.2 notwithstanding that the date for the renewal of the original licence is due.

CHAPTER 2 - LICENSED OR PERMITTED TRAINERS: FURTHER PROVISION

Licensed trainers and permitted trainers

10. General requirements applying to licensed trainers and permitted trainers

10.1 The Authority may

10.1.1 refuse to grant or renew a trainer's licence or permit, or

10.1.2 suspend or withdraw a licence or permit,

if the Authority considers that any of the conditions specified in Paragraph 10.2 are not met.

10.2 The conditions are that

10.2.1 the applicant or the holder of the licence or permit is a suitable Person,

10.2.2 any training establishment used by him is suitable and secure,

10.2.3 training may only be carried out at or from stables in connection with which the licence or permit is granted,

10.2.4 the terms and conditions on which Persons are engaged by him in the training of racehorses are fair and reasonable, and

10.2.5 the holder meets such other requirements as the Authority may from time to time determine.

10.3 For the purpose of determining whether these conditions are met, the Authority may, either on the initial application for a licence or permit or subsequently, inspect the applicant's establishment at such time and with such frequency as it considers appropriate.

10.4 For the purposes of Paragraph 10.2.4, the terms and conditions of service of employees shall be taken to be fair and reasonable if, taken as a whole, they are, or are no less favourable than, the Standard Terms and Conditions.

10.5 The Standard Terms and Conditions means the terms and conditions of service for stable employees which are

10.5.1 established by the National Joint Council for Stable Staff (set up by agreement between the National Trainers Federation and the National Association of Stable Staff), and

10.5.2 set out in Schedule 1.

10.6 Schedule 2 makes further provision as to the requirements applying to any Licensed Trainer or Permitted Trainer with regard to any Person employed by him.

11. Deleted

12. Duty to check identity of a horse

12.1 A Licensed Trainer or Permitted Trainer must check the identity of any horse which comes under his care or control from the horse's passport.

12.2 A Licensed or Permitted Trainer must report immediately any discrepancies in the markings or microchip in the horse's passport to the Racing Calendar Office.

12.3 The identity check must be carried out when the trainer receives the passport or as soon as reasonably practicable afterwards.

13. Duty to keep Treatment records

13.1 A clear and accurate record of any Treatment administered to a horse under the care or control of a Licensed Trainer or Permitted Trainer must be kept by the trainer for a period of not less than one year.

13.1.1 Treatment means any medication or treatment containing a Prohibited Substance administered to a horse under the care or control of a Licensed Trainer or Permitted Trainer whether or not that horse is currently in training.

13.2 Subject to paragraph 13.7, each record must be made within 48 hours of administration, or if that administration occurs away from the yard, as soon as reasonably practicable after the horse returns to the yard following the administration, and include, as a minimum requirement, the following information

13.2.1 registered name of the horse or, if it is unnamed, the registered name of the dam and the year of foaling,

13.2.2 brand name or active ingredient of the Treatment used,

13.2.3 date of commencement of any Treatment,

13.2.4 route of administration,

13.2.5 quantifiable dosage of Treatment, e.g. ml/mg. If this changes during the course of any Treatment, this must be made clear in the record

13.2.6 frequency of administration. If this changes during the course of any Treatment, this must be made clear in the record,

13.2.7 date the Treatment finished, and

13.2.8 name of the Person administering the Treatment.

13.3 Every entry made in the Treatment records will be deemed authorised by the Trainer.

13.4 Where the Person referred to in Paragraph 13.2.8 is a veterinary surgeon, the Trainer shall ensure that the Treatment record is completed accordingly. Veterinary practice records that comply with the requirements of Paragraph 13.2 shall be sufficient provided they are available in the yard and cross-referenced in the Treatment records.

13.5 The records for an individual horse must be kept in one format available in one location.

13.6 The records must be made available for inspection

13.6.1 by any approved Person authorised to enter the trainer's premises under Part (A)5, or

13.6.2 in accordance with any directions given by the Authority when conducting an enquiry under that Part of that Manual into a possible contravention of these Rules.

13.7 In the event that a horse is hospitalised, should the records provided by the veterinary practice to the Trainer not comply with the requirements of Paragraph 13.2, compliant records must be made available for inspection upon request.

14. Authorising another trainer to act on a trainer's behalf

14.1 A Licensed Trainer or Permitted Trainer who is unable to attend a race meeting at which he has a horse running, may authorise another trainer (his representative) who holds a licence or permit for the same type of race to enter the official racecourse stables and act on his behalf.

14.2 Authority under Paragraph 14.1 must

14.2.1 be in writing, and

14.2.2 state the name of the trainer's representative, the date of the race meeting, the name of the racecourse and the name of the horse.

14.3 A trainer's representative who fails to produce written authority at the official racecourse stables, together with the representative's own identity card, will not be permitted to enter the stables.

15. Information about employees

15.1 A Licensed Trainer or Permitted Trainer must inform the Authority immediately of the termination, for any reason, of an Apprentice Jockey's agreement, or a Conditional Jockey's agreement, which was entered into with the trainer.

15.2 A Licensed Trainer or Permitted Trainer must correct and return the Stable Employees Register Return which the Racing Calendar Office sends to him annually.

15.3 This return must be corrected and returned by the date specified on it.

16. Information about horses under a trainer's care

16.1 A Licensed Trainer or Permitted Trainer must inform The Racing Calendar Office

16.1.1 of the arrival at his yard of each new horse,

16.1.2 if he has more than one yard, of any change in location of a horse under his care or control,
or

16.1.3 of any change in ownership of a horse under his care or control.

16.2 The information must be provided

16.2.1 no later than 3 days after the event specified in Paragraph 16.1.1, 16.1.2 or 16.1.3, or

16.2.2 if sooner, before any further race entry is made.

16.3 The trainer must also correct and return the Horses in Training Return which The Racing Calendar Office sends to him from time to time and this must be done

16.3.1 if the trainer has access to the Racing Administration Internet Site, in an approved form with immediate effect, or

16.3.2 otherwise, in writing on the Prescribed form by the date specified on the Return.

17. Information about gelding a horse

17.1 A Licensed Trainer or Permitted Trainer must notify The Racing Calendar Office when a horse under his care and control has been gelded.

17.2 Subject to 17.3, this must be notified no later than the closing time for entries for the next race in which the horse is entered in Great Britain.

17.3 If the race is an early closing race, and the horse has been gelded subsequent to being entered, this must be notified before the next Scratching Deadline or confirmation of entry for the race.

17A Information about horses of ambiguous sex

17A.1 A Licensed or Permitted Trainer must, as soon as possible, notify the Racing Calendar Office when a horse under his care or control is found to be of Ambiguous Sex.

17A.2 **A Horse of Ambiguous Sex** means a horse whose visible sexual characteristics are contradicted by its genetic make-up/internal organs.

17.B Notification of pregnant horses

17B.1 A Licensed Trainer or Permitted Trainer must notify The Racing Calendar Office when a horse under his care and control is pregnant.

17B.2 Notification must include the last covering date and must be made

17B.2.1 within 25 days of the last covering, or

17B.2.2 as soon as the horse enters training

whichever is the later.

17B.3 If, after notification, the pregnancy is lost the Trainer must notify The Racing Calendar Office as soon as reasonably practicable that it has been lost.

17B.4 The Authority may decide not to take Disciplinary Action in respect of a contravention of this Rule if the Licensed Trainer or Permitted Trainer satisfies the Authority that he took all reasonable precautions and exercised all due diligence to ascertain whether or not the horse was pregnant.

17.C Notification of wind surgery

17C.1 On each occasion that a horse has had Wind Surgery the Trainer must notify the Racing Calendar Office of the type of Wind Surgery undertaken. No notification is necessary if the horse has never previously raced.

17C.2 Notification must be made before the horse is declared to run under Rule (F)89 (Declaration to Run) and the responsibility for making such notification rests with the Trainer making the declaration.

17C.3 The Authority may decide not to take Disciplinary Action in respect of a contravention of this Rule if the Licensed Trainer or Permitted Trainer satisfies the Authority that he took all reasonable precautions and exercised all due diligence to ascertain whether or not the horse had had Wind Surgery.

17C.4 In this Rule Wind Surgery is defined as

17C.4.1 Tie back (prosthetic laryngoplasty)

17C.4.2 Hobday (venticulectomy/cordectomy)

17C.4.3 Epiglottic entrapment surgery

17C.4.4 Tie forward (dorsal displacement soft palate surgery)

17C.4.5 Soft palate cauterly

18. Information about new horse arriving from outside Great Britain and Ireland

18.1 This Rule applies where

18.1.1 Rule 16.1.1 requires a Licensed Trainer or Permitted Trainer to inform The Racing Calendar Office of the arrival of a new horse, and

18.1.2 the horse arrives from outside Great Britain or Ireland.

18.2 The trainer must obtain details of the horse's racecourse performances and send them to The Racing Calendar Office

18.2.1 before the horse is next entered for a race, or

18.2.2 if the horse already has an entry, before the next Scratching Deadline, confirmation of entry or declaration stage for the race.

18.3 If the horse was foaled outside Great Britain, Ireland or the Channel Islands the trainer must also complete a naming card and send it to The Racing Calendar Office.

18.4 If the trainer also received a passport for such a horse

18.4.1 he must also send that to The Racing Calendar Office after first identifying the horse in accordance with Rule 12,

18.4.2 it will be returned to the trainer after any amendments to markings have been carried out, but

18.4.3 the passport must still be produced on the racecourse in accordance with Rule (E)16 (identity check for horses trained outside GB and Ireland).

Licensed trainers, permitted trainers and private trainers

19. Information about a horse running in a race outside Great Britain and Ireland

19.1 This Rule applies to any Licensed Trainer, any Permitted Trainer or any Person who is treated as a trainer in accordance with Rule 1.2.

19.2 On each occasion when a horse trained in Great Britain has run in a race outside Great Britain and Ireland, the trainer must notify The Racing Calendar Office of the details of its racecourse performance.

19.3 This information must be notified

19.3.1 within 48 hours of the horse's return to Great Britain, or

19.3.2 if the horse has an entry for a race in Great Britain within five days of its return, or as soon as reasonably possible after the horse's return to Great Britain.

Licensed trainers only

20. Dealings between licensed trainers and owners

20.1 Schedule 4 makes provision for and in connection with a Licensed Trainer's dealings with or on behalf of owners or intended owners or the horses under their care or control.

20.2 Part 1 of Schedule 4 deals with agreements to be entered into between Licensed Trainers and owners and their enforcement.

20.3 Part 2 of Schedule 4 contains a code of conduct applying to Licensed Trainers in their dealings with owners.

20.4 Failure by a Licensed Trainer to observe a provision of the code of conduct in Part 2 of Schedule 4 does not itself amount to a contravention of a requirement imposed by or under these Rules but

20.4.1 such failure may be relevant in determining whether or not the trainer has complied with a requirement imposed by or under these Rules, and

20.4.2 may accordingly result in Disciplinary Action being taken against him.

20A. Changes in employment status

20A.1 A Licensed Trainer must notify the Authority as soon as practicable of any intended change to employment status and obtain its written approval before it becomes effective.

20A.2 Failure to comply with Paragraph 20A.1 may invalidate the trainer's licence and/or result in Disciplinary Action.

17D. Information about suprachoroidal cyclosporine implants

17D.1 Where a horse undergoes surgery for the placement of a suprachoroidal cyclosporine implant, a Licensed or Permitted Trainer must notify the BHA Equine Health and Welfare Department within 7 days of surgery with a certificate, signed by a veterinary surgeon to this effect.