

# Rider Manual (D)

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### PART 1 - INTRODUCTORY

#### 1. Introductory

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1.1 Part (A)3 prohibits any Person from riding in a race under these Rules unless

1.1.1 he has attained the age of 16 years,

1.1.2 he

1.1.2.1 holds a Jockey's Licence or an Amateur Rider's permit granted by the Authority, or

1.1.2.2 is authorised by a Recognised Racing Authority to ride under the rules of that Recognised Racing Authority (whether by grant of a licence, permit or otherwise), and

1.1.3 he is not disqualified or suspended from riding under these Rules or under the rules of any Recognised Racing Authority.

1.2 Part (A)3 also prohibits any Person from acting as

1.2.1 a valet to a master Jockey (master valet),

1.2.2 an assistant to a Master Valet, or

1.2.3 a rider's agent,

unless he holds the appropriate licence or permit granted by the Authority.

1.3 A Person is liable to Disciplinary Action if

1.3.1 he contravenes a requirement imposed on him by or under these Rules,

1.3.2 any provision of these Rules states that he is taken to have contravened any such requirement, or

1.3.3 any provision of these Rules states that he is liable to Disciplinary Action.

1.4 Disciplinary action may also be taken against a Person in any of the circumstances specified in Rules (A)63 to (A)70.

#### 2. Scheme

2.1 As regards riders

2.1.1 Parts 2 and 3 have effect in connection with licences for Jockeys and permits for amateur riders which may be granted by the Authority and those Parts also set out specific requirements that apply only to the holders of such licences or permits,

2.1.2 Part 4 sets out requirements that a Person (Overseas Rider) who is authorised to ride by a Recognised Racing Authority must meet in order to ride in races under these Rules, and

2.1.3 Parts 5, 6 and 8 contain provisions that apply to Jockeys, amateur riders who hold a permit granted by the Authority and Overseas Riders.

2.2 As regards Master Valets, Assistant Valets and rider's agents (relevant persons)

2.2.1 Part 7 has effect in connection with licences and permits which may be granted by the Authority and sets out specific requirements that apply only to the holders of such licences or permit, and

2.2.2 Part 8 contains provisions that also apply to the holders of such licences or permits.

### PART 2 - JOCKEY LICENCES FROM THE AUTHORITY

## CHAPTER 1 - OBTAINING A LICENCE

### *General*

#### **3. Licences to ride granted by the Authority**

3.1 A licence to ride may be granted by the Authority, subject to such restrictions or conditions as the Authority considers appropriate.

3.2 Such a licence is referred to in this Manual as a Jockey's Licence.

3.3 The types of Jockey's Licences that may be granted are

3.3.1 a licence to allow the holder to ride in flat races;

3.3.2 a licence to allow the holder to ride in steeple chases, hurdle races or National Hunt Flat Races.

3.4 In this Manual, any Jockey's Licence which the Authority grants to a Person whom the Authority considers to be inexperienced in racing is referred to as

3.4.1 an Apprentice Jockey's Licence, where the licence allows him to ride in flat races, and

3.4.2 a Conditional Jockey's Licence, where the licence allows him to ride in steeple chases, hurdle races or National Hunt Flat Races,

and the holder of the licence is referred to as an Apprentice Jockey or a Conditional Jockey.

#### **4. Fees for grant and renewal of licence**

4.1 An application under this Part for the grant or renewal of a Jockey's Licence must be accompanied by the appropriate fee and any VAT payable.

4.2 The fees payable in respect of each licence

4.2.1 are specified in Schedule (A)1, and

4.2.2 if the applicant for the licence is an Apprentice Jockey or a Conditional Jockey, must be paid by the Trainer by whom he is employed.

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

### ***Grant, refusal or withdrawal: Jockeys***

#### **5. Initial application for a jockey's licence**

5.1 Subject to Paragraph 5.3, a Person who applies for a Jockey's Licence must use the Prescribed form.

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

5.3 This Rule and Rules 6 and 7 do not apply to an Apprentice Jockey's Licence or Conditional Jockey's Licence and any application in connection with the licence (including renewal) must instead be made in accordance with Rules 8 to 11.

5.4 The initial application must be received at the Authority's Office at least 3 weeks before the date on which the licence will be required.

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

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

5.6.1 be assessed at the British Racing School or the Northern Racing College,

5.6.2 attain a National Vocational Qualification (NVQ),

5.6.3 attend a training course or seminar,

5.6.4 undergo a medical examination,

5.6.5 be tested in accordance with the Authority's Assessment of Concussion protocol, and

5.6.6 attend a personal interview.

## **6. Expiry and renewal of a jockey's licence**

6.1 A Jockey's Licence expires at the end of the period stated on the licence.

6.2 The holder of the licence 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 2 weeks before the date on which the licence or permit will be required.

6.5 A licence may be renewed subject to such restrictions or conditions as the Authority considers appropriate (including a requirement for the holder of the licence to undertake such training as the Authority may direct) and the restrictions or conditions may differ from any restrictions or conditions previously imposed.

## **7. Circumstances in which a jockey's licence ceases to be valid**

7.1 This Rule applies to a Jockey's Licence granted under Rule 5 or renewed under Rule 6.

7.2 A Person shall be taken to have contravened a requirement imposed on him by these Rules if he rides in any race under these Rules after his licence has ceased to be valid.

7.3 A licence shall immediately cease to be valid if

7.3.1 the licence

7.3.1.1 expires and is not renewed,

7.3.1.2 is withdrawn by the Authority, or

7.3.1.3 is suspended by the Authority; or

7.3.2 the holder of the licence

7.3.2.1 relinquishes it, or

7.3.2.2 is declared to be a Disqualified Person.

7.4 A licence that is suspended for a specified period shall resume on the expiry of the period.

### ***Grant, refusal or withdrawal: Apprentice Jockeys or Conditional Jockeys***

## **8. Initial application for an apprentice jockey's licence**

8.1 A Person who applies for an Apprentice Jockey's Licence must use the Prescribed form.

8.2 The application must be received at the Authority's Office at least 3 weeks before the date on which the licence will be required.

8.3 No licence may be granted unless the applicant meets

8.3.1 the conditions specified in Paragraph 8.4 and the conditions specified in Paragraph 8.5, and

8.3.2 such other requirements as the Authority may from time to time determine.

8.4 In order to meet the conditions in this Paragraph, a Person must

8.4.1 be aged over 16 but under 26 years,

8.4.2 be in the full-time, paid employment of a Trainer who holds a licence granted by the Authority to train horses for flat races,

8.4.3 have signed, of his own free will, an Apprentice Jockey's Agreement with the Trainer, and

8.4.4 make the application jointly with the Trainer,

and if the applicant is under 18 years, he must before signing the Apprentice Jockey's Agreement also obtain the consent of a Person who has Parental Responsibility for him.

8.5 In order to meet the conditions in this Paragraph, a Person must be aged under 26 years and

8.5.1 be entitled to claim a weight allowance under Rule (F)140 (which makes provision for weight allowances for riders in flat races), or

8.5.2 have been entitled to claim such an allowance within the past 6 months.

8.6 At any time after receiving an initial application under this Rule and before determining it, the Authority may

require an applicant to

- 8.6.1 be assessed at the British Racing School or the Northern Racing College,
- 8.6.2 attain a National Vocational Qualification (NVQ),
- 8.6.3 attend a training course or seminar,
- 8.6.4 undergo a medical examination,
- 8.6.5 be tested in accordance with the Authority's Assessment of Concussion protocol, and
- 8.6.6 attend a personal interview.

8.7 In this Rule apprentice jockey's agreement means a riding agreement for Apprentice Jockeys on the standard form approved by the Authority.

## **9. Initial application for a conditional jockey's licence**

9.1 A Person who applies for a Conditional Jockey's Licence must use the Prescribed form.

9.2 The application must be received at the Authority's Office at least 3 weeks before the date on which the licence will be required.

9.3 No licence may be granted unless the applicant meets

- 9.3.1 the conditions specified in Paragraph 9.4 or the conditions specified in Paragraph 9.5, and
- 9.3.2 such other requirements as the Authority may from time to time determine.

9.4 In order to meet the conditions in this Paragraph, a Person must

- 9.4.1 be aged over 16 but under 26 years,
- 9.4.2 be in the full-time, paid employment of a Trainer who holds a licence or permit granted by the Authority to train horses for steeple chases, hurdle races or National Hunt Flat Races,
- 9.4.3 have signed, of his own free will, a Conditional Jockey's Agreement with the Trainer, and
- 9.4.4 make the application jointly with the Trainer,

and if the applicant is under 18 years, he must before signing the Conditional Jockey's Agreement also obtain the consent of a Person who has Parental Responsibility for him.

9.5 In order to meet the conditions in this Paragraph, a Person must be aged under 26 years and

- 9.5.1 be entitled to claim a weight allowance under Rule (F)141 (which makes provision for weight allowances for riders in steeple chases, hurdle races and national hunt flat races open to professional riders), or
- 9.5.2 have been entitled to claim such an allowance within the past 6 months.

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

- 9.6.1 be assessed at the British Racing School or the Northern Racing College;
- 9.6.2 attain a National Vocational Qualification (NVQ),
- 9.6.3 attend a training course or seminar,
- 9.6.4 undergo a medical examination,
- 9.6.5 be tested in accordance with the Authority's Assessment of Concussion protocol, and
- 9.6.6 attend a personal interview.

9.7 Without prejudice to Rule 3.1, a Conditional Jockey's Licence may be granted on terms that exclude the holder of the licence from riding in novice steeple chases.

9.8 In this Rule conditional jockey's agreement means a riding agreement for Conditional Jockeys on the standard form approved by the Authority.

## **10. Expiry and renewal of licences: apprentice jockey or conditional jockey**

10.1 This Rule applies to

- 10.1.1 any Apprentice Jockey's Licence, and
- 10.1.2 any Conditional Jockey's Licence.

10.2 The licence expires at the end of the period stated on the licence.

10.3 The holder of the licence may apply for it to be renewed using the Prescribed form.

10.4 The renewal application must be received at the Authority's Office at least 2 weeks before the date on which the licence will be required.

10.5 A licence may be renewed subject to such restrictions or conditions as the Authority considers appropriate and

10.5.1 these may differ from the restrictions or conditions previously imposed, and

10.5.2 these may include a requirement for the holder of the licence to undertake such training as the Authority may direct.

## **11. Circumstances in which licence ceases to be valid: apprentice jockey or conditional jockey**

11.1 This Rule applies in relation to

11.1.1 an Apprentice Jockey's Licence, and

11.1.2 a Conditional Jockey's Licence.

11.2 A Person shall be taken to have contravened a requirement imposed on him by these Rules if he rides in any race under these Rules after his licence has ceased to be valid.

11.3 A licence shall immediately cease to be valid if

11.3.1 the licence

11.3.1.1 expires and is not renewed,

11.3.1.2 is withdrawn by the Authority, or

11.3.1.3 is suspended by the Authority;

11.3.2 the holder of the licence

11.3.2.1 relinquishes it, or

11.3.2.2 is declared to be a Disqualified Person;

11.3.3 the holder of the licence reaches the age of 26 years;

11.3.4 in respect of a licence holder to whom the conditions in Rule 8.4 or 9.4 apply

11.3.4.1 he leaves the employment referred to in Rule 8.4 or 9.4 (with or without the trainer's consent),

11.3.4.2 the Trainer's licence ceases to be valid under Part (C)2, or

11.3.4.3 the agreement referred to in Rule 8.4 or Rule 9.4 terminates by consent or for any other reason; or

11.3.5 except as stated in Paragraph 11.4, the licence holder ceases to be entitled to a weight allowance under Rule (F)140 or (F)141.

11.4 A licence shall continue in force in the circumstances described in Paragraph 11.3.5 until the earliest of the following

11.4.1 the end of the 6 month period starting with the effective date on which licence holder ceased to be entitled to the weight allowance,

11.4.2 the licence holder reaches the age of 26 years, or

11.4.3 the agreement referred to in Rule 8.4 or Rule 9.4 terminates for any reason.

11.5 A licence that is suspended for a specified period shall resume on the expiry of the period.

11.6 Where the Trainer referred to in Rule 8.4 or Rule 9.4 dies

11.6.1 the licence held by the Apprentice or Conditional Jockey shall remain in force for a period of 7 days from the date of death,

11.6.2 during that period the Apprentice or Conditional Jockey shall be answerable to the Authority in the same way as he would otherwise have been answerable to the Trainer, and  
11.6.3 at the end of the 7 day period the licence shall immediately cease to be valid.

## **CHAPTER 2 - JOCKEYS: FURTHER PROVISIONS**

### **12. Jockeys to be suitable Persons**

12. The Authority may

- 12.1 refuse to grant or renew a Jockey's Licence, or
- 12.2 suspend or withdraw a licence,

if the Authority considers that an applicant or a licence holder is not a suitable Person to hold a licence.

### **13. Reporting any injury or illness**

13.1 Where a Jockey sustains a reportable injury since last riding under these Rules

- 13.1.1 he must inform the Chief Medical Adviser at the earliest opportunity, and
- 13.1.2 he must not weigh out or attempt to weigh out until he is passed fit to ride by the Chief Medical Adviser or by a Racecourse Medical Officer on a raceday on the instruction of the Chief Medical Adviser.

13.2 A reportable injury is

- 13.2.1 a head injury or concussion,
- 13.2.2 a severe back injury,
- 13.2.3 a fracture or dislocation involving a limb bone or joints,
- 13.2.4 a fracture of the pelvis or spine, or
- 13.2.5 any other significant injury or significant illness.

13.3 Where a Jockey sustains any injury riding under the rules of any Recognised Racing Authority he must inform the Chief Medical Adviser within 48 hours of his return to Great Britain.

### **14. Prohibition on owning racehorses**

14.1 A Jockey may not be the owner or part-owner of

- 14.1.1 any horse which is entered or run under these Rules, or
- 14.1.2 any horse which is entered or run under the rules of any Recognised Racing Authority.

14.2 Paragraph 14.1 does not apply where the horse runs in Hunters' Steeple Chases only.

14.3 The reference to a Person owning or part-owning a horse includes holding a beneficial or equitable interest in the horse.

### **15. Riding outside Great Britain**

15.1 This Rule applies where a Jockey is proposing to travel to another country with a view to riding in a race run under the rules of that country's Racing Authority.

15.2 The Jockey may request from the Authority a certificate of clearance to ride in that country where

- 15.2.1 the country is not listed in Schedule 1, or
- 15.2.2 although the country is listed, it is outside Europe and the Jockey has reason to believe that a certificate may be required.

15.3 In making a request under Paragraph 15.2.2 the Jockey must confirm to the Authority that he has contacted the Racing Authority to enquire whether local rules require a clearance certificate.

## **PART 3 - AMATEUR RIDER'S PERMITS FROM THE AUTHORITY**

## CHAPTER 1 - OBTAINING A PERMIT

### *General*

#### **16. Permits to ride granted by the Authority for amateur riders**

16.1 A permit to ride as an amateur may be granted by the Authority, subject to such restrictions or conditions as the Authority considers appropriate.

16.2 Such a permit is referred to in these Rules as an amateur rider's permit.

16.3 The types of permits that may be granted are

16.3.1 a Category A permit to allow the holder to ride in flat races, steeple chases or hurdle races which are confined to amateur riders;

16.3.2 a Category B permit to allow the holder to ride in

16.3.2.1 flat races confined to amateur riders,

16.3.2.2 steeple chases or hurdle races which are not confined to Professional Riders,  
and

16.3.2.3 National Hunt Flat Races.

#### **17. Fees etc for grant and renewal of permit**

17.1 An application under this Part for the grant or renewal of an Amateur Rider's Permit must be accompanied by the appropriate fee and any VAT payable.

17.2 The fees payable in respect of each permit are specified in Schedule (A)1.

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

17.4 A Person who holds a permit must contribute such amount as the Authority may specify to an insurance scheme for amateur riders which has been approved by the Authority.

### *Grant, refusal or withdrawal*

#### **18. Initial application for an amateur rider's permit**

18.1 A Person who applies for an Amateur Rider's Permit must use the Prescribed form.

18.2 The application must be received at the Authority's Office at least 3 weeks before the date on which the permit will be required.

18.3 No permit may be granted unless the applicant meets such requirements as the Authority may from time to time determine.

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

18.4.1 attend a training course or seminar,

18.4.2 undergo a medical examination,

18.4.3 be tested in accordance with the Authority's Assessment of Concussion protocol, and

18.4.4 attend a personal interview.

18.5 No permit may be granted to a Person who is ineligible under Rule 19.

#### **19. Persons ineligible for an amateur rider's permit**

19.1 Subject to Paragraphs 19.2 and 19.3, a Person is ineligible for an Amateur Rider's Permit if he has been paid directly or indirectly for riding in a race, whether payment to him is made directly or indirectly.

19.2 A Person who was paid for riding in a race whilst authorised to ride by a Recognised Racing Authority is not ineligible by virtue of Paragraph 19.1 if the following conditions are met in relation to him

19.2.1 the first condition is that his authorisation by the Authority or a Recognised Racing Authority corresponds to

19.2.1.1 an Apprentice Jockey's Licence,

19.2.1.2 a Conditional Jockey's Licence, or  
19.2.1.3 a steeple chase and hurdle race licence issued before July 1978 under the Rules of Racing then in force;

19.2.2 the second condition is that he did not ride more than 25 winners under the rules of any Recognised Racing Authority whilst holding such licences.

19.3 The following shall be disregarded for the purposes of Paragraph 19.1

19.3.1 any trophy that was advertised in the conditions of the race,

19.3.2 any expenses apportioned by F.E.G.E.N.T.R.I. for their Championship races under these Rules,

19.3.3 any reasonable expenses for Overseas Riders which are

19.3.3.1 offered by sponsors of an amateur or club race,

19.3.3.2 included in the conditions of the race, and

19.3.3.3 approved by the Authority,

19.3.4 any assisted or free travel and accommodation which is

19.3.4.1 offered to amateur riders when taking part in invitation races abroad, and

19.3.4.2 approved by the Racing Authority for the racecourse concerned, and

19.3.5 any other expenses or benefits approved by the Authority.

## **20. Expiry and renewal of an amateur rider's permit**

20.1 An Amateur Rider's Permit expires at the end of the period stated on the permit.

20.2 The holder of the permit may apply for it to be renewed using the Prescribed form.

20.3 The renewal application must be received at the Authority's Office at least 2 weeks before the date on which the permit will be required.

20.4 A permit may be renewed subject to such restrictions or conditions as the Authority considers appropriate (including a requirement for the holder of the licence to undertake such training as the Authority may direct) and the restrictions or conditions may differ from any restrictions or conditions previously imposed.

## **21. Circumstances in which an amateur rider's permit ceases to be valid**

21.1 A Person shall be taken to have contravened a requirement imposed on him by these Rules if he rides in a race under these Rules after his Amateur Rider's Permit has ceased to be valid.

21.2 The permit shall immediately cease to be valid if

21.2.1 the permit

21.2.1.1 expires and is not renewed,

21.2.1.2 is withdrawn by the Authority, or

21.2.1.3 is suspended by the Authority;

21.2.2 the holder of the permit

21.2.2.1 relinquishes it, or

21.2.2.2 is declared to be a Disqualified Person.

21.3 A permit that is suspended for a specified period shall resume on the expiry of the period.

## **CHAPTER 2 - AMATEUR RIDERS: FURTHER PROVISIONS**

### **22. Amateur riders to be suitable Persons**

22. The Authority may

22.1 refuse to grant or renew an Amateur Rider's Permit, or



22.2 suspend or withdraw a permit,

if the Authority considers that an applicant or a permit holder is not a suitable Person to hold a permit.

### **23. Obtaining a medical record book**

23.1 An amateur rider who holds an Amateur Rider's Permit must

23.1.1 before he takes part in any race under these Rules, obtain a Medical Record Book from the Authority,

23.1.2 comply with the instructions contained in it, and

23.1.3 return it to the Authority when requested to do so.

23.2 An amateur rider who fails to comply with Paragraph 23.1.1 shall not be permitted to take part in any race run under these Rules.

23.3 A fee in accordance with Schedule (A)1 is payable for the replacement of a lost Medical Record Book.

### **24. Producing the medical record book before race**

24.1 Before presenting himself to the Clerk of the Scales to be weighed for any race in which he is to ride, an amateur rider who holds an Amateur Rider's Permit must produce his Medical Record Book to the Declarations Clerk.

24.2 The Stewards may decide not to take Disciplinary Action against an amateur rider who fails to comply with Paragraph 24.1 if the amateur rider satisfies them that his failure was due to circumstances outside his reasonable control.

### **25. Reporting any injury or illness**

25.1 Where an amateur rider who holds an Amateur Rider's Permit sustains a reportable injury since last riding under these Rules

25.1.1 he must inform the Chief Medical Adviser at the earliest opportunity, and

25.1.2 he must not weigh out or attempt to weigh out until he is passed fit to ride by the Chief Medical Adviser or by a Racecourse Medical Officer on a raceday on the instruction of the Chief Medical Adviser.

25.2 Reportable injury has the meaning given in Rule 13.

### **26. Riding outside Great Britain**

26. Where an amateur rider who holds an Amateur Rider's Permit proposes to travel to another country with a view to riding in a race under the rules of that country's Racing Authority, the provisions of Rules 15.2 and 15.3 shall apply to him as they apply to a Jockey.

## **PART 4 - OVERSEAS RIDERS RIDING IN GREAT BRITAIN**

### **27. Overseas rider qualifying to ride in Great Britain: general provisions**

27.1 In this Part overseas rider

27.1.1 means any Person who is authorised by a Recognised Racing Authority to ride under the rules of that Recognised Racing Authority (whether by grant of a licence, permit or otherwise), but

27.1.2 does not include any Person who also holds a Jockey's Licence or an Amateur Rider's Permit granted by the Authority.

27.2 An Overseas Rider qualifies to ride in any race run under these Rules if

27.2.1 his authorisation would qualify him to ride in the race if it were run under the rules of the Recognised Racing Authority which authorises him,

27.2.2 he is not suspended or disqualified from riding (either under these Rules or the rules of any Recognised Racing Authority),

27.2.3 he produces the documents and other evidence required by Paragraph 27.3 to the Clerk of

the Scales at the racecourse,

27.2.4 he meets any restriction or condition imposed on him by the Authority under Paragraph 27.4,  
and

27.2.5 he is not prohibited from riding under Paragraph 27.5.

27.3 At any racecourse at which an Overseas Rider proposes to ride, he must on request

27.3.1 produce to the Clerk of the Scales

27.3.1.1 evidence that he is for the time being authorised to ride by a Recognised  
Racing Authority (such as a licence, permit or proof that he holds one), and

27.3.1.2 if the Recognised Racing Authority is not from a country listed in Schedule 1,  
a clearance to ride issued by that Recognised Racing Authority, and

27.3.2 produce to the Declarations Clerk any Medical Record Book issued to him by that  
Recognised Racing Authority.

27.4 The Authority may at any time impose on an Overseas Rider such restrictions or conditions as it considers  
necessary.

27.5 The Authority may, in exercise of its powers under Rule (A)65, prohibit an Overseas Rider from taking part in  
any race or description of race

27.5.1 in any case where the Overseas Rider has been resident in Great Britain for more than 30  
days, or

27.5.2 if, upon request, he fails to provide the Authority with his medical records, or

27.5.3 in such other circumstances as the Authority considers appropriate.

27.6 An Overseas Rider shall be taken to have contravened a requirement imposed on him by this Rule where

27.6.1 he rides in any race run under these Rules without complying with all the requirements  
imposed on him under Paragraphs 27.2, 27.3 and 27.4, or

27.6.2 the Authority has notified him of any prohibition imposed on him under Paragraph 27.5 and  
he rides in a race to which the prohibition applies.

## **28. Overseas rider riding in races confined to apprentice or conditional jockeys**

28.1 This Rule applies in relation any race run under these Rules which is confined to

28.1.1 Apprentice Jockeys (and equivalent Overseas Riders), or

28.1.2 Conditional Jockeys (and equivalent Overseas Riders).

28.2 An Overseas Rider who no longer qualifies for a weight allowance under Part (F)8 may continue to ride in  
any race specified in Paragraph 28.1 for the period of 6 months from the time he ceased to qualify.

28.3 An Overseas Rider who is aged 26 years or more does not qualify to run in any race specified in Paragraph  
28.1 and, if he rides in the race, he shall be taken to have contravened a requirement imposed on him by this  
Rule.

## **29. Prohibition on overseas riders owning racehorses**

29.1 An Overseas Rider whose authorisation corresponds to a Jockey's Licence may not be the owner or part-  
owner of any horse which is trained in Great Britain or is entered or run under these Rules.

29.2 Paragraph 29.1 does not apply where the horse runs in Hunters' Steeple Chases only.

29.3 The reference to a Person owning, or part-owning, a horse includes holding a beneficial or equitable interest  
in the horse.

## **PART 5 - GENERAL DUTIES OF RIDERS**

### ***Introductory***

## **30. Application of Part 5**

30.1 Except where the context otherwise requires, this Part applies to any Person who is

30.1.1 a Jockey,

30.1.2 a Person who holds an Amateur Rider's Permit granted by the Authority, and

30.1.3 an Overseas Rider who rides in a race under these Rules,

and who is not suspended from riding by the Authority or by any other Recognised Racing Authority.

30.2 Such Persons are referred to in this Part as riders.

### **Changes to riding schedule**

## **31. Duty to notify changes to riding schedule**

31.1 Subject to Paragraph 31.2, where a Rider is unable to ride the horse for which he has been declared under Rule (F)92 he must notify the Clerk of the Course as soon as possible (normally by telephone) and with an explanation.

31.2 Where

31.2.1 a Rider is declared to ride at a meeting on a given day,

31.2.2 one of his declared rides is subsequently unable to run, and

31.2.3 the Rider is then engaged to take a ride at another meeting for which he has not previously been declared,

the Rider must inform The Racing Calendar Office at the earliest opportunity of all his declared rides which he will not be riding on that day.

### ***The restricted period***

## **32. Duty to remain on racecourse property during restricted period**

32.1 This Rule applies to all Riders

32.1.1 at any race meeting at which they are present in their capacity as such, and

32.1.2 for the period that starts half an hour before the advertised time of the first race and ends when the last race has started.

32.2 The period specified in Paragraph 32.1.2 is referred to in this Manual as the Restricted Period.

32.3 No Rider may leave and return to Racecourse Property at any time during the Restricted Period without first obtaining the permission of the Clerk of the Scales or a Stipendiary Steward.

32.4 The Stewards may decide not to take Disciplinary Action against a Rider for failure to comply with Paragraph 32.3 if the Rider satisfies the Stewards that the failure was due to circumstances which they consider acceptable.

## **33. General restriction on mobile telephone use during restricted period**

33.1 No Rider may during the Restricted Period

33.1.1 use a Mobile Telephone in the riders' changing rooms or elsewhere on Racecourse Property,  
or

33.1.2 cause one to be so used,

except to the extent permitted by the following provisions of this Rule.

33.2 Paragraph 33.1 prohibits the use of a Mobile Telephone for

33.2.1 sending any out-going text message, or

33.2.2 receiving any incoming call apart from when

33.2.2.1 the Trainer of a horse the Rider is engaged to ride is not present on the course, and

33.2.2.2 the Trainer's representative hands his Mobile Telephone to the Rider in the

phone zone for the Trainer to speak directly to the Rider.

33.3 But Paragraph 33.1 does not prohibit use of a Mobile Telephone

33.3.1 in the circumstances specified by Rules 34 and 35, or

33.3.2 where the use is authorised by an official of the Authority under Paragraph 33.4 or

33.3.3 where a Rider is not riding at the meeting and has not entered the Riders' Changing rooms.

33.4 An official of the Authority may, on request, authorise a Person to leave his Mobile Telephone switched on if the official is satisfied that the Person has personal concerns (such as a family illness) which make it important for him to be contacted easily.

33.5 Except when being used in circumstances permitted by Paragraphs 33.2, 33.3 or 33.4, a Mobile Telephone shall be regarded as being in use if it is switched on.

33.6 In this Rule and Rules 34 and 35

#### **Mobile Telephone**

33.6.1 includes any other appliance, apparatus, instrument or equipment capable of receiving or transmitting information, but

33.6.2 does not include equipment whose only function is to receive public broadcast services;

**Phone Zone** means the area in the Weighing Room which is designated for the use of Mobile Telephones.

#### **34. Permitted use of registered mobile telephones: jockeys**

34.1 A Jockey may make an outgoing call from his Mobile Telephone during the Restricted Period but only if

34.1.1 the number of the Mobile Telephone has been registered, and

34.1.2 the call is made in the phone zone.

34.2 A Jockey who has registered a Mobile Telephone number under this Rule may check the Mobile Telephone for incoming messages (including incoming text messages) in the phone zone.

34.3 The Jockey must, on request, provide to the Authority fully itemised telephone billing accounts for the Restricted Period, which must include the last entry on those accounts before the commencement of the Restricted Period and the first entry on those accounts after the end of the Restricted Period.

34.4 The Authority may refuse to register the Mobile Telephone number unless the Authority is satisfied that the applicant is able to obtain from the service provider for the Mobile Telephone full details of all outgoing calls and text messages.

34.5 Where the number is registered

34.5.1 a Jockey who changes his number must register the new number and service provider by notifying

34.5.1.1 an official of the Authority at the first meeting at which he is due to ride following the change, or

34.5.1.2 the Authority's Integrity, Legal and Risk Department or the Professional Jockeys Association within 7 days, whichever is the earlier, and

34.5.2 an official of the Authority may check the Mobile Telephone at any time to ensure the number being used matches the registered number.

#### **35. Permitted use of unregistered mobile telephones**

35.1 This Rule applies to any Person who is

35.1.1 a Person who holds an Amateur Rider's Permit granted by the Authority, and

35.1.2 an Overseas Rider.

35.2 A Person specified in Paragraph 35.1 may make an outgoing call from his Mobile Telephone during the Restricted Period but only if

35.2.1 he makes the call in the Phone Zone in the Weighing Room, and

35.2.2 he records it in the log book in the Phone Zone which is provided by the Authority.

35.3 Each log book entry for an outgoing call must state

35.3.1 the caller's name;

35.3.2 the time at which the call was made; and

35.3.3 the name or number of the Person to whom the call is made.

35.4 A Person specified in Paragraph 35.1 may check his Mobile Telephone for messages (including incoming text messages) in the Phone Zone.

## ***Equipment***

### **36. Safety vests, skull caps and saddles**

36.1 At any time when a Rider is mounted on a horse on Racecourse Property or in any other place where the horse is in the care or control of a Trainer acting in his capacity as such, the Rider

36.1.1 must wear a skull cap and a safety vest, and

36.1.2 must ensure that any skull cap or safety vest worn by him is in a serviceable condition (in particular, a skull cap that has been subjected to a severe impact, or has been worn by a Rider suffering concussion, shall not be regarded as being in a serviceable condition). (See Rule (C)25.1 if an Apprentice Jockey or Conditional Jockey)

36.2 A Rider must not bring a modified safety vest onto Racecourse Property.

36.3 A Rider's skull cap and a safety vest must be of such design and fitted in such a way as to meet the requirements specified in Part 1 of Schedule 2.

36.4 A Rider must ensure the fit condition of any saddle used by him. (See Rule (C)44.1 if an Apprentice Jockey or Conditional Jockey)

For this purpose, the saddle comprises the saddle itself, the girth, the surcingle, the stirrup irons, and the leathers or webs.

### **37. Whips used for racing**

37.1 No Rider may ride in any race unless he is carrying a whip approved by the Authority that complies with the specifications contained in Part 2 of Schedule 2.

37.2 Other than adjustments to the handle/grip, an approved whip must not be modified in any way (for example, by the addition of tape to the flap or shaft).

37.3 No substitute for a whip may be carried in any race.

37.4 A whip approved for racing in steeple chases or hurdle races may be carried in such races or in flat races, but a whip approved for flat racing may be carried in flat races only.

### **38. Other requirements as to equipment etc for racing**

38.1 No Rider shall ride in a race wearing spurs

38.2 No Rider may ride in a race whilst he is wearing spectacles.

38.3 A Rider who wears contact lenses must use soft contact lenses.

38.4 Where there is a failure of his equipment between leaving the Parade Ring and the start of the race, a Rider must

38.4.1 undertake any repairs that may be possible with the assistance of such spare tack as may be available at the start, and

38.4.2 inspect the spare tack and judge for himself the safety of any repair,

and, if he is in doubt as to the safety of any repair, he must not start.

38.5 A Rider must ensure that the girths are correctly adjusted.

38.6 An Apprentice Jockey or Conditional Jockey (or an equivalent Overseas Rider) must have his girths checked

at the start.

38.7 A Rider must ensure that all blindfolds have been removed from the horse before the start of the race.

38.8 Where a horse runs with ear plugs of any type, the plugs must not be removed during the race.

38.9 A Rider must not wear any device or equipment in a race unless such device or equipment has been approved by the Authority.

### **39. Approval of advertising on clothing or equipment**

39.1 No Rider may carry any form of advertising material on any part of his clothing or equipment on the racecourse except to the extent approved by the Authority.

39.2 The Authority may, on an application made to it and in accordance with the Code of Conduct, approve a Rider's sponsorship agreement in such circumstances as it considers appropriate.

39.3 A Rider may apply for the Authority's approval by sending a copy of the sponsorship agreement to The Racing Calendar Office, together with the appropriate application fee specified in Schedule (A)1.

39.4 A sponsorship agreement may be approved subject to such restrictions or conditions as the Authority considers appropriate and, if the agreement is approved, it will be entered on the register of sponsorship agreements maintained by the Authority.

39.5 Registration under Paragraph 39.4 shall become effective 7 days following publication of the entry on the Racing Administration Internet Site.

### ***The race***

### **40. Requirements before leaving the Weighing Room**

40.1 A Rider must consult the plan of the racecourse in the Weighing Room and acquaint himself in advance with the correct course over which he is to ride in a race.

40.2 Where the Rider is riding in a flat race, he must ascertain the place allotted to him by the draw before leaving the Weighing Room.

### **41. Duty of declared rider to weigh out**

41.1 A Rider who has been declared to ride under Rule (F)92 must weigh out for each race in which he is due to ride.

41.2 The Stewards may decide not to take Disciplinary Action against a Rider for failure to comply with this Rule if the Rider satisfies the Stewards that the failure was due to any of the circumstances specified in Rule (B)25.3 (late change of rider).

### **42. Weighing out**

42.1 This Rule applies to a Rider when weighing out.

42.2 The Rider must present to the Clerk of the Scales

42.2.1 his safety vest,

42.2.2 his silk cap, and

42.2.3 any blinkers, hood, visor, eyeshield, eyecover or number cloth which he is to carry in the race but which are excluded from the scale (by virtue of Paragraphs 42.4.6 to 42.4.10 and 42.4.17).

42.3 Where a Rider

42.3.1 intends to carry over-weight, he must declare the amount, and

42.3.2 is in doubt as to his proper weight, he may declare the weight he intends to carry.

42.4 The Rider must put into the scale and include in his weight everything that the horse is to carry in the race, apart from

42.4.1 skull cap,

42.4.2 whip,

42.4.3 bridle,

42.4.4 rings,

42.4.5 plates,

42.4.6 blinkers,

42.4.7 hood,

- 42.4.8 visor,
- 42.4.9 eyeshield,
- 42.4.10 eyecover,
- 42.4.11 anything worn on the horse's legs,
- 42.4.12 breast plate,
- 42.4.13 breast girth,
- 42.4.14 martingale,
- 42.4.15 muzzle,
- 42.4.16 neck strap,
- 42.4.17 number cloth,
- 42.4.18 sheepskin cheek pieces, and
- 42.4.19 tongue strap.
- 42.4.20 ear plugs, and
- 42.4.21 silk cap.

42.5 Subject to Rule (F)143, no Rider may weigh out if he will be carrying 4lbs or more overweight.

42.6 No Rider shall weigh out or attempt to weigh out for a race when not wearing an approved safety vest.

### **43. Duties following weighing out**

43.1 After weighing out for a race, a Rider

43.1.1 may not change equipment or clothing unless he presents himself to the Clerk of the Scales to be re-weighed, and

43.1.2 must ensure that his saddle

43.1.2.1 is not left unattended,

43.1.2.2 is not taken back into the riders' changing room, and

43.1.2.3 is handed over as soon as possible to the Trainer (or his representative) of the horse he is to ride.

43.2 A Rider will be reported to the Stewards if he fails to comply with any of the requirements specified in Paragraph 43.1.

43.3 Where a Rider has been weighed out for a particular horse, he must ride that horse in the race.

43.4 The Stewards may decide not to take Disciplinary Action against a Rider for failure to comply with Paragraph 43.3 if the Rider satisfies the Stewards that the failure was due to

43.4.1 accident,

43.4.2 illness,

43.4.3 withdrawal of the horse by the Starter in any case other than where the Rider refuses to ride,  
or

43.4.4 any other circumstances which the Stewards consider to be acceptable.

### **44. General conduct at the start**

44.1 On arrival at the start, a Rider must immediately place himself under the control of the Starter and must obey any order given by the Starter or the Assistant Starter.

44.2 Unless the Starter orders otherwise, a Rider in a flat race must go into and start from the place allotted to him by the draw.

44.3 Where the race starts from starting stalls, the Rider may not request at the start a late load for a horse.

44.4 The Rider must not engage in any misconduct at the start.

44.5 Examples of misconduct by a Rider include

44.5.1 attempting to line up or taking a position for the start before signalled by the Starter to do so;

44.5.2 causing or allowing a horse in a race started from a starting gate to go beyond the marker poles prior to the start being effected;

44.5.3 failing to comply with the procedures set out in Schedule (B)5 Part 3.

44.6 A failure to comply with Paragraph 44.4 may result in the Rider being reported to the Stewards by the Starter.  
44.7 No report will be made in respect of conduct falling within Paragraph 44.5.2 in any case where the Starter considers that the circumstances of the conduct were outside the reasonable control of the Rider.

## **45. Riding to achieve the best possible placing**

45.1 A Rider must

45.1.1 ride his horse throughout the race in such a way that he can be seen to have made a genuine attempt to obtain from his horse timely, real and substantial efforts to achieve the best possible placing, and

45.1.2 take and be seen to take all other reasonable and permissible measures throughout the race, however it develops, to ensure the horse is given a full opportunity to achieve the best possible placing.

45.2 For the purposes of Paragraph 45.1, whilst it is not necessary for the Rider to use the whip, the Rider must give his horse at least a hands and heels ride.

45.3 But the Rider must pull up the horse where

45.3.1 it is lame or injured, or

45.3.2 it would be contrary to the horse's welfare to continue riding out because the horse

45.3.2.1 has no more to give or is 'tailed off' through fatigue, or

45.3.2.2 has a problem which is materially affecting its performance.

45.4 Where the horse is lame or injured, the Rider must dismount immediately and must not ride to a finish.

### ***After the race***

## **46. Pulling up and dismounting after the race**

46.1 Subject to Paragraph 46.4, the Rider must not dismount before reaching the place specified in Paragraph 46.2 or 46.3.

46.2 The Rider of a horse placed first, second or third in a race must ride the horse to the place appointed for unsaddling.

46.3 The Rider of any other horse may dismount within a reasonable distance of the place appointed for unsaddling.

46.4 Where the Judge has not announced his decision before the Riders return to weigh in, the Riders may dismount either inside the place appointed for unsaddling the winner or within a reasonable distance of it.

46.5 The Rider

46.5.1 must remove his own saddle unless Paragraph 46.6 applies, and

46.5.2 must not accept anything from any Person, or discard anything that the horse has carried in the race, which may affect the weight upon weighing-in.

46.6 The Trainer (or his representative) may remove the saddle if the Rider is prevented from doing so by illness, accident or other extraordinary circumstances but, where the Rider is able to present himself to be weighed-in, the saddle must be handed to the Rider intact before weighing-in takes place.

46.7 A Rider who has failed to complete the course must report the reason to the Clerk of the Scales.

46.8 The Stewards may decide not to take Disciplinary Action against a Rider for failure to comply with this Rule if the Rider satisfies the Stewards that the failure was justified by the circumstances.

## **47. Weighing-in**

47.1 Each Rider who has ridden in the race must, without delay after the race

47.1.1 present himself with his saddle to the Clerk of the Scales for weighing-in, and

47.1.2 make any report required by Rule 48 or 49.

47.2 Where a Rider is prevented from riding back to weigh in by reason of an accident or illness by which he or



his horse is disabled, he may walk or be carried to the scales.

47.3 Where a Rider is required to weigh in he must, subject to Paragraph 47.4, put into the scale and include in his weight everything that the horse has carried in the race.

47.4 For the purposes of Paragraph 47.3, the Rider must exclude all items listed in Rules 42.4.1 to 42.4.21 that were excluded from the scale for weighing out.

47.5 A Rider in a race must remain within the vicinity of the Weighing Room until five minutes have elapsed after the announcement of 'Weighed In' has been given for the race.

47.6 The Race Manual (B) makes provision for

47.6.1 a Rider's horse to be disqualified if the Rider does not weigh in (see Rule (B)14.2.3 (races already run: disqualification of horses)), and

47.6.2 the handling of any discrepancies there may be with the weight at which a Rider weighed out (see Rule (B)67 (procedure for weighing-in)).

## **48. Making a report of gurgling by horse during a race**

48.1 This Rule applies in respect of any race during which his horse was gurgling (such as by choking, choking up or swallowing its tongue).

48.2 On dismounting, the Rider must inform the Trainer (or his representative) of the gurgling so that the Trainer may consider whether he is required to make a report under Rule (C)34 (post-race reports of matters materially affecting a horse's performance).

48.3 On weighing-in, the Rider must report the gurgling

48.3.1 in the first instance, to the Veterinary Officer,

48.3.2 if he is not available, to the Stipendiary Steward in the Weighing Room, or

48.3.3 if he is not available, to the Clerk of the Scales.

48.4 The Veterinary Officer will, if possible, examine the horse for signs of distress and report his finding to the Stewards.

48.5 In this Rule

**veterinary officer** means a registered veterinary surgeon engaged by the Authority.

## **49. Post-race reports to Stewards**

49.1 This Rule applies where anything (other than a matter falling within Rule 48) occurred during a race which a Rider considers may have materially affected the performance of the horse.

49.2 The following are examples of matters that must be reported under this Rule

49.2.1 interference leaving the stalls;

49.2.2 interference suffered in running;

49.2.3 horse hanging;

49.2.4 saddle slipped;

49.2.5 equipment failure;

49.2.6 bit slipped through mouth;

49.2.7 lost action;

49.2.8 not face blinkers/visor;

49.2.9 not face kickback (AWT);

49.2.10 never travelling;

49.2.11 in relation to flat races only, horse had no more to give;

49.2.12 in relation to flat races only, horse tailed off (giving the reason, if possible).

49.3 On dismounting, the Rider must inform the Trainer (or his representative) of his intention to report the matter to the Stewards and

49.3.1 if the Trainer indicates that he intends to report the matter himself, the Rider must inform the Stewards accordingly, or

49.3.2 otherwise, he must proceed with the report in accordance with Paragraphs 49.4 and 49.5.

49.4 If a report is to be made by a Person who

49.4.1 is an Apprentice Jockey, a Conditional Jockey (or an equivalent Overseas Rider) or an Amateur Rider, and  
49.4.2 has ridden fewer than 10 winners,

that Person must also obtain the agreement of the Trainer (or his representative) before making the report.

49.5 Any report by the Rider of the matter he considers affected the horse's performance must be made, in the first instance, to the Stipendiary Steward in the Weighing Room and, if he is not available, the Rider must

49.5.1 inform the Clerk of the Scales (or in his absence the Starter or Judge) that he wishes to make a report, and

49.5.2 if none of these is available, report to the Stewards' Room.

49.6 A Rider in a flat race must also make a report where he did not ride in such a way as to achieve the best possible placing (as required by Rule 45).

49.7 Each report will be considered by the Stewards, posted on racecourse notice boards and handed to the press and, where the report relates to a horse which was prominent in the betting market, it may be announced over the public address system.

## **50. Reporting accidents occurring in a race**

50. A Rider must report immediately to the Racecourse Medical Officer in all cases where he falls or meets with an accident whilst riding in a race run under these Rules.

## **51. Declaration of unfitness to ride**

51.1 If a Rider has been declared

51.1.1 unfit to ride by a Racecourse Medical Officer, or

51.1.2 unfit to ride in accordance with the Regulations for Point to Point Steeple Chases, or

51.1.3 unfit to ride in accordance with the Regulations for Arabian Horse Racing.

he may not weigh out or attempt to weigh out until he is passed fit to ride by the Chief Medical Adviser or a Racecourse Medical Officer.

51.2 Where the declaration of unfitness to ride specifies a minimum period before a Rider can resume riding, the Rider must not be passed fit to ride until that period has expired.

51.3 If a Rider has been declared unfit to ride by the Chief Medical Adviser he must not weigh out or attempt to weigh out until he is passed fit to ride by the Chief Medical Adviser.

## ***Miscellaneous***

## **52. Duty to report to Stewards' room**

52. A Rider who is requested, over the internal public address system or by a Stipendiary Steward, to report to the Stewards' Room must do so as quickly as possible.

## **53. Betting and betting contacts: professional riders**

53.1 This Rule applies to Professional Riders only.

53.2 A Professional Rider must not

53.2.1 bet or lay a horse to lose any race with a Betting Organisation,

53.2.2 instruct another Person to do so, or

53.2.3 receive the whole or part of any proceeds of such a bet or lay.

53.3 A Professional Rider must not

53.3.1 associate on Racecourse Property with a Betting Organisation (or its representative), or

53.3.2 communicate directly or indirectly from such property with such an organisation (or its representative).

53.4 Paragraph 53.3 does not apply to any association or communication by the Professional Rider with the organisation (or representative) which

53.4.1 is part of the normal running of a race meeting (such as prize-giving and meeting sponsors),  
53.4.2 is made with the owner of a horse for whom the Professional Rider is declared to ride, or  
53.4.3 is expressly contemplated by Schedule (A)5 (information regarded as in the public domain).

53.5 A Professional Rider must not be present in the betting ring during a race meeting unless he can satisfy the Authority or the Stewards that he had good reason to be there.

## **54. Betting: amateur riders**

54.1 This Rule applies to Amateur Riders only.

54.2 An Amateur Rider must not

54.2.1 bet or lay a horse to lose a race with a Betting Organisation in which the Amateur Rider is riding,

54.2.2 instruct another Person to do so, or

54.2.3 receive the whole or part of any proceeds of such a bet or lay.

## **55. Accepting rewards: professional riders**

55.1 This Rule applies to Professional Riders only.

55.2 A Professional Rider must not accept or agree to accept any Consideration whatsoever in connection with a race (wherever run) from a Person other than

55.2.1 the owner of any horse ridden by him in the race,

55.2.2 a representative of the owner, or

55.2.3 the Breeder of the horse.

55.3 Paragraph 55.2 does not apply

55.3.1 to any trophy advertised in the conditions of the race, or

55.3.2 to any sponsorship agreement approved by, and registered with, the Authority.

55.4 In this Rule

**consideration** includes any fee, expenses, reward, gift, favour or benefit in kind;

**breeder** means a Person or entity recorded as such by the Stud Book authority of the country of foaling.

## **56. Accepting rewards: amateur riders**

56.1 This Rule applies to Amateur Riders only.

56.2 An Amateur Rider must not solicit, accept or agree to accept any Consideration for riding in a race.

56.3 **consideration** includes any fee, expenses, reward, gift, favour or benefit in kind but does not include any item listed in Rule 19.3.

## **57. Requirements in other Manuals applying to all riders**

57.1 A Rider must, in particular, make himself familiar with and comply with all other requirements of these Rules that apply to him directly.

57.2 For example

57.2.1 Part (A)4 imposes duties and prohibitions that apply to all Persons subject to these Rules;

57.2.2 in the Race Manual (B)

57.2.2.1 Part (B)2 makes provision as to weighing out procedures, late changes of Rider and procedures after weighing out,

57.2.2.2 Part (B)3 contains provisions about the start of a race,

57.2.2.3 Part (B)4 contains provisions about the race,

57.2.2.4 Part (B)6 deals with weighing-in procedure, and

57.2.2.5 Part (B)8 imposes a general duty to comply with instructions given by Stewards at a race meeting;

57.2.3 in the Race Administration Manual (F)

57.2.3.1 Rule (F)94 imposes restrictions as to the number of meetings that a Rider is

permitted to ride in at any seven day period, and  
57.2.3.2 Part (F)8 specifies circumstances in which a Rider is entitled to claim weight allowances.

57.3 This Rule is without prejudice to the general provisions as to compliance with, and deemed knowledge of, these Rules, as specified in Rule (A)2 (persons subject to these Rules).

## **PART 6 - BANNED SUBSTANCES AND NOTIFIABLE MEDICATIONS**

### *Introductory*

#### **58. Application and interpretation of Part 6**

58.1 This Part applies to any Person who is

58.1.1 a Jockey,

58.1.2 a Person who holds an Amateur Rider's Permit granted by the Authority, and

58.1.3 an Overseas Rider who is to ride, or who rides, in a race under these Rules,

and who is not suspended from riding by the Authority or by any other Recognised Racing Authority.

58.2 Such Persons are referred to in this Part as **Riders**.

58.3 In this Part

**analysis of a sample** means an analysis carried out by any laboratory which is accredited by the United Kingdom Accreditation Service and which is for the time being approved by the Authority for the testing of Samples taken from Riders;

**banned substance**

58.3.1 means a substance listed in Part 1 of Schedule 3, and

58.3.2 includes any isomer or diagnostic metabolite of the substance;

**notifiable medication** means any substance listed in Part 2 of Schedule 3;

**the Protocol** means the Protocol referred to in Rule 60.2;

**sample**, in relation to a Rider, means urine, breath, blood, hair, sweat or saliva.

#### **59. Testing positive for banned substance or notifiable medication**

59.1 For the purposes of this Part, any reference to a Sample testing positive for a Banned Substance or Notifiable Medication is to where a laboratory report of the result of an analysis of the Sample shows

59.1.1 in the case of a Banned Substance for which a threshold level is specified in Schedule 3, that the concentration of the substance present in the Sample exceeds the level specified;

59.1.2 otherwise, that the Banned Substance or Notifiable Medication is present in the Sample at the limit of detection using appropriate hybrid analytical techniques (for example, gas chromatography/mass spectrometry).

59.2 The result of the analysis of a Sample taken from a Rider shall be invalidated only if the Rider satisfies the Authority that

59.2.1 there has been a departure from procedures set out in the Protocol, and

59.2.2 this departure casts reasonable doubt on the reliability of any finding derived from the operation of these procedures.

59.3 In connection with Paragraph 59.2.2, the Rider will, for example, have to establish that the departure from the procedures

59.3.1 casts reasonable doubt on the reliability of the result of the analysis of any Sample taken

from him; or

59.3.2 casts reasonable doubt on the identity of the Person who provided the Sample.

### ***Sampling procedures***

#### **60. Procedures for sampling under this Part**

60.1 The Authority may from time to time approve procedures for the testing of Banned Substances and Notifiable Medications for the purposes of this Part .

60.2 The current procedures are set out in The Protocol for the Testing of Riders for Banned Substances and Procedures for Notifiable Medications.

60.3 The Protocol for the time being in force is set out in Schedule 4 .

#### **61. Duties as to medical examination and compliance with the Protocol for sampling procedures**

61.1 A Rider must comply with the procedures established in the Protocol.

61.2 In particular, a Rider must when required to do so

61.2.1 submit to a medical examination,

61.2.2 undertake a breath test, and

61.2.3 supply or allow other Samples to be taken from him.

61.3 Sampling (including breath testing) may be carried out at any time on a racecourse in accordance with the Protocol.

61.4 Sampling (including breath testing) may also be carried out off-course in accordance with the Protocol.

61.5 In relation to any finding that a Rider has failed or refused to provide a Sample, a departure from the Protocol shall invalidate the finding only if the Rider satisfies the Authority that

61.5.1 there has been a departure from the Protocol, and

61.5.2 it materially contributed to the Rider's failure or refusal to provide the Sample.

#### **62. Other medical examinations ordered by Stewards**

62.1 A Rider must submit to any other medical examination which may be ordered by the Stewards under Part (B)1.

62.2 In particular, a Rider must when required to do so supply or allow to be taken from him such Samples as the Racecourse Medical Officer may require in the course of the examination.

62.3 The Authority may decide not to take Disciplinary Action against a Rider for his failure to comply with this Rule if the Rider satisfies the Authority that he had reasonable cause.

62.4 In this Rule

**Sample** means blood, urine, sweat, saliva or any other body fluid.

### ***Consequences of positive test for Notifiable Medications***

#### **63. Duty to notify a Notifiable medication and restriction on riding**

63.1 Where a medical practitioner prescribes a Notifiable Medication for a Rider, or a Rider otherwise intends to take a Notifiable Medication, the Rider

63.1.1 must immediately inform the Chief Medical Adviser, and

63.1.2 whilst he is taking the medication, may not ride in any race run under these Rules or under the rules of any Recognised Racing Authority unless he has first obtained the Chief Medical Adviser's written consent under Paragraph 63.2.

63.2 The Chief Medical Adviser may give his consent to a Rider continuing to ride whilst taking a Notifiable Medication if Chief Medical Adviser considers that the Rider will be fit to do so.

63.3 For the purpose of enabling the Chief Medical Adviser to make an assessment, the Rider must provide him with

63.3.1 written confirmation that he has been prescribed the Notifiable Medication,

63.3.2 a report from his medical practitioner stating the diagnosed condition, the anticipated period of treatment and the current diagnosis for recovery, and

63.3.3 permission for the Chief Medical Adviser to contact the Rider's medical practitioner or specialist and to obtain from them such further medical reports and history as the Chief Medical Adviser may reasonably require.

63.4 If the Chief Medical Adviser requires him to do so, the Rider must also

63.4.1 produce a copy of the prescription, and

63.4.2 submit to any medical examination to be carried out by the Chief Medical Adviser or by an independent medical practitioner nominated by him.

63.5 The Chief Medical Adviser may, if he considers it necessary to do so, recommend to the Authority that the Rider's licence be suspended

63.5.1 for such reasonable period as will allow the Chief Medical Adviser properly to assess the Rider's fitness to ride,

63.5.2 until the course of medication is completed, or

63.5.3 until the Rider's medical status no longer gives cause for concern.

## **64. Consequences of positive test for notifiable medication**

64.1 A Rider shall be taken to have contravened a requirement imposed on him by this Rule if a Sample taken from him in accordance with the procedures established under this Part tests positive for a Notifiable Medication and, by the date the Rider was selected for sampling, either

64.1.1 he had failed to inform the Chief Medical Adviser that the medication had been prescribed, or

64.1.2 the Chief Medical Adviser's consent under Rule 63.2 for the Rider continuing to ride whilst taking the medication has not been obtained.

64.2 For the purposes of any Disciplinary Action taken for a contravention of this Rule, the contravention shall be taken to have occurred on the date the Rider was selected for sampling.

### ***Consequences of positive test for banned substance***

## **65. Consequences of positive test for banned substance**

65.1 Subject to Rule 66, if a Sample from a Rider tests positive for a Banned Substance, the Rider shall be taken to have contravened a requirement imposed on him by this Rule.

65.2 Paragraph 65.1 does not apply where a Sample was taken off-course, the Banned Substance is alcohol and the Rider had no forthcoming professional riding engagements of any description on the day on which the Sample was taken.

65.3 The Authority will not take Disciplinary Action against a Rider if he satisfies the Authority that the presence of a Banned Substance is attributable to

63.3.1 the injection or consumption of medical compounds or proprietary medicines, in normal or recommended quantities, which is entirely for a recognised medical purpose other than the treatment of drug addiction or dependency, or

63.3.2 the ingestion of food or other nutritional substances in the ordinary course of dietary nourishment.

65.4 Where the medical compound or proprietary medicine referred to in Paragraph 65.3.1 is supplied only on prescription made out by a medical practitioner, it shall be presumed that the presence of the substance was not

attributable to a recognised medical purpose unless the Rider provides to the Chief Medical Adviser or the Authority, on request

- 65.4.1 a copy of the prescription in the name of the Rider which was valid at the time of sampling,
- 65.4.2 a written confirmation of the prescription from a medical practitioner, or
- 65.4.3 an explanation acceptable to the Authority which accounts for the presence of the medical compound or proprietary medicine.

65.5 For the purposes of any Disciplinary Action taken for contravention of this Rule, the contravention shall be taken to have occurred on the date the Rider was selected for sampling.

## **66. Consequences where positive test is for alcohol**

66.1 This Rule applies where, in accordance with the Protocol

- 66.1.1 breath tests for alcohol are conducted at a race meeting, and
- 66.1.2 a Rider is required to take a second breath test on the ground that the first test was positive for alcohol.

66.2 If the second breath test is also positive, the Rider shall be taken to have contravened a requirement imposed on him by this Rule.

66.3 The Stewards

- 66.3.1 shall suspend the Rider from riding in any race on the day in question, and
- 66.3.2 may suspend him from riding or take any other action they have power to take under Part (B)1, as they consider appropriate.

## **67. Deleted**

# **PART 7 - MASTER VALETS, ASSISTANT VALETS AND AUTHORISED RIDERS' AGENTS**

## **CHAPTER 1 - OBTAINING A LICENCE OR PERMIT**

### ***General***

## **68. Licences and permits for master valets, assistant valets and authorised riders' agents**

68.1 The following licences and permits may be granted by the Authority, subject to such restrictions or conditions it considers appropriate

- 68.1.1 a licence for a Person to act as Master Valet,
- 68.1.2 a permit for a Person to act as assistant to a Master Valet (Assistant Valet), and
- 68.1.3 a licence for a Person to act as an Authorised Rider's Agent.

68.2 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.

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

## **69. Fees for grant and renewal of licence or permit**

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

69.2 The fees payable in respect of each licence or permit are specified in Schedule (A)1.

69.3 The Authority may waive any fee payable in respect of an application for a licence to act as the agent for a Rider, where the application is made by any Person who

- 69.3.1 is the Rider's spouse, civil partner, parent, son or daughter, and
- 69.3.2 is acting for that Rider only.

## ***Grant, refusal or withdrawal***

### **70. Initial application for licence or permit**

70.1 A Person who applies for

- 70.1.1 a licence to act as Master Valet,
- 70.1.2 a permit to act as Assistant Valet, or
- 70.1.3 a licence to act as an Authorised Rider's Agent,

must use the Prescribed form.

70.2 A list of Persons to whom a licence or permit is granted under Paragraph 70.1.1 or 70.1.2 shall be published on the Racing Administration Internet Site.

### **71. Expiry and renewal of licence or permit**

71.1 A licence or permit granted under Rule 70 expires at the end of the period stated on the licence or permit.

71.2 The holder of the licence or permit may apply for it to be renewed using the Prescribed form.

71.3 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 any restrictions or conditions previously imposed.

### **72. Circumstances in which a licence or permit ceases to be valid**

72.1 A Person shall be taken to have contravened a requirement imposed on him by these Rules if he acts as a Master Valet, as an Assistant Valet or as a rider's agent after his licence or permit to do so has ceased to be valid.

72.2 The licence or permit shall immediately cease to be valid if

72.2.1 the licence or permit

- 72.2.1.1 expires and is not renewed,
- 72.2.1.2 is withdrawn by the Authority, or
- 72.2.1.3 is suspended by the Authority;

72.2.2 the holder of the licence

- 72.2.2.1 relinquishes it, or
- 72.2.2.2 is declared to be a Disqualified Person.

72.3 A licence or permit that is suspended for a specified period shall resume on the expiry of the period.

## **CHAPTER 2 - FUTURE PROVISIONS**

### ***General***

### **73. Licence or permit holders to be suitable Persons**

73. The Authority may

- 73.1 refuse to grant or renew a licence or permit under this Part, or
- 73.2 suspend or withdraw it,

if it considers that an applicant, or a holder of a licence or permit, is not a suitable Person to hold a licence or permit.

### **Master valets and Assistant Valets**

### **74. Remaining on racecourse property and mobile telephone use during restricted period**

74.1 During the Restricted Period



74.1.1 the duty to remain on Racecourse Property in Rule 32, and  
74.1.2 the restrictions as to the use of mobile telephones in Rule 33,

shall apply to any Master Valet or Assistant Valet as those Rules apply to Jockeys.

74.2 For the purposes of Paragraph 74.1.2

74.2.1 a Master Valet or Assistant Valet may register his mobile telephone in accordance with Rule 34; and

74.2.2 if he does not do so, Rules 35.2 to 35.4 shall apply to him;

and any reference in those Rules to a Jockey shall be read as if it was a reference to a Master Valet or Assistant Valet.

## **75. Restrictions on betting and betting contacts**

75.1 A Master Valet or Assistant Valet must not

75.1.1 bet or lay any horse to lose a race with a Betting Organisation at any meeting which he attends in his capacity as such,

75.1.2 instruct another Person to do so for him, or

75.1.3 receive the whole or part of any proceeds of such a bet or lay.

75.2 A Master Valet or Assistant Valet must not

75.2.1 associate on Racecourse Property with a Betting Organisation (or its representative), or

75.2.2 communicate directly or indirectly from such property with such an organisation (or its representative).

75.3 A Master Valet or Assistant Valet must not be present in the betting ring during a race meeting unless he can satisfy the Authority or the Stewards that he had good reason to be there.

## **76. Requirements in other Manuals applying to master valets and assistant valets**

76.1 A Master Valet or Assistant Valet must, in particular, make himself familiar with and comply with all other requirements of these Rules which apply to him directly.

76.2 For example

76.2.1 Part (A)4 imposes duties and prohibitions that apply to all Persons subject to these Rules, and

76.2.2 Part (B)8 imposes a general duty to comply with instructions given by Stewards at a race meeting

76.3 This Rule is without prejudice to the general provisions as to compliance with, and deemed knowledge of, these Rules, as specified in Rule (A)2 (persons subject to the Rules).

### ***Rider's agents***

## **77. Authorisation to act as agent for a particular rider**

77.1 A Person who holds a licence to act an Authorised Rider's Agent may act on behalf of a particular Rider only if

77.1.1 he is appointed as an Authorised Rider's Agent by a document in the Prescribed form which is signed by the Rider,

77.1.2 that document is sent to The Racing Calendar Office,

77.1.3 the appointment is for the time being registered in the register of rider's agents, and

77.1.4 the appropriate fee is paid for

77.1.4.1 initial registration of the document, and

77.1.4.2 the renewal of the registration before the end of each 12 month period that

starts on the anniversary date of the initial registration.

77.2 Where the Rider for whom the agent proposes to act is an Apprentice Jockey or a Conditional Jockey, no appointment may be made unless the Jockey's employer has consented in writing.

77.3 The fees payable under Paragraph 77.1.4 are specified in Schedule (A)1.

77.4 The Authority may waive any fee where the rider's agent

77.4.1 is the Rider's spouse, civil partner, parent, son or daughter, and

77.4.2 is acting for that Rider only.

77.5 A rider's agent's authorisation to act shall immediately cease to be valid if

77.5.1 his appointment is cancelled by the Rider,

77.5.2 the Authorised Rider's Agent resigns, or

77.5.3 the Authority cancels the registration referred to in Paragraph 77.1.3.

77.6 An Authorised Rider's Agent may appoint a sub-agent only if

77.6.1 he is appointed as a sub-agent by a document in the prescribed form which is signed by the rider's agent and the sub-agent, and,

77.6.2 the document is sent to the Racing Calendar Office and

77.6.3 the appropriate fee is paid for

77.6.3.1 initial registration of the document, and

77.6.3.2 the renewal of the registration before the end of each 12 month period that starts on the anniversary date of the initial registration.

77.7 Where a sub-agent is appointed by an Authorised Rider's Agent in accordance with this Rule, the sub-agent may make jockey bookings under these Rules only if he has been allotted a security code by the Authority.

## **78. Restrictions on laying a horse to lose**

78.1 A Person who holds a licence to act as an Authorised Rider's Agent must not

78.1.1 lay a horse to lose a race with a Betting Organisation if the horse is ridden by a Rider for whom he acts as agent,

78.1.2 instruct another Person to do so on his behalf, or

78.1.3 receive the whole or part of any proceeds of such a lay.

78.2 Any reference to a Person laying a horse to lose includes any single instance of doing so, whether or not the single instance was, or was intended to be, one of a series of betting arrangements.

78.3 Nothing in this Rule prevents the laying of any horse owned by a Betting Organisation in the ordinary course of that Betting Organisation's business.

## **PART 8 - MISCELLANEOUS**

### **79. Payment for non-riding services**

79.1 Nothing in these Rules shall prohibit a Rider from accepting or agreeing to accept consideration for

79.1.1 the advertising or promotion of goods and/or services, or

79.1.2 the provision of views or information for general publication.

79.2 If a Rider enters into an arrangement with a Betting Organisation in connection with the advertising or promotion of goods and/or services, or the provision of views or information for general publication, he must notify the Authority of

79.2.1 the identity of the Betting Organisation,

- 79.2.2 the start date and end date of the arrangement,
- 79.2.3 a summary of the services provided by the Rider under such arrangement, and
- 79.2.4 all benefits received by the Rider under such arrangement.

as soon as reasonably practicable.

79.3 A Rider must notify the Authority of any amendment to, or the early termination of, an arrangement with a Betting Organisation in connection with the advertising or promotion of goods and/or services, or the provision of views or information for general publication as soon as reasonably practicable.

## **80. Fees for services of riders, master valets and assistant valets**

80.1 Schedule 6 specifies the fees payable in respect of a race for

- 80.1.1 a Jockey,
- 80.1.2 a Person who holds an Amateur Rider's Permit granted by the Authority, or
- 80.1.3 an Overseas Rider who rides in a race under these Rules.

80.2 Schedule 6 also specifies

- 80.2.1 certain other sums payable in respect of a race by the owner of the horse or by a Trainer employing an Apprentice Jockey or a Conditional Jockey,
- 80.2.2 certain other sums payable in respect of a race by a Professional Rider, and
- 80.2.3 the daily entitlement for attendance at a race meeting by a Master Valet or Assistant Valet.
- 80.2.4 the sum payable to a Professional Rider when a horse he has been declared to ride becomes a non-runner.

80.3 All such fees shall be payable by the Owner unless in any case Schedule 6 provides otherwise.

## **PART 9 - SUPPLEMENTARY**

### **81. Notices, directions and other documents**

81. Unless the context otherwise requires, Rules (A)105 (the giving of notices etc), (A)106 (the giving of notices etc in electronic form) and (A)107 (deemed service of documents) have effect in relation to any notices, directions or documents which are authorised or required to be given or sent under the provisions .

### **82. Computation of time**

82. Except where these Rules provide otherwise, when the specified period for doing any act at the Authority's Office ends on a day on which the office is closed, that act will be done in time if done by 5.00pm on the next day on which the Authority's Office is open.

### **83. Arrangement of Rules into Manuals**

83.1 These Rules are made up of the following Manuals

- The General Manual (A)
- The Race Manual (B)
- The Trainer Manual (C)
- The Rider Manual (D)
- The Horse and Owner Manual (E)
- The Race Administration Manual (F)

83.2 Each Manual is of equal standing and the fact that these Rules are divided into Manuals does not affect the weight of any requirements specified in each Manual.

### **84. Meaning of rider**

84. Unless the context otherwise requires, any reference in this Manual to **rider** (without more) is to

- 84.1 a Jockey,
- 84.2 a Person who holds an amateur rider's permit granted by the Authority, or
- 84.3 an Overseas Rider,

who is not suspended from riding by the Authority or by a Recognised Racing Authority.

## 85. References to jockeys

85.1 In this Manual, unless the context otherwise requires, **jockey**

85.1.1 means a Person who holds a Jockey's Licence granted by the Authority, and

85.1.2 includes an Apprentice Jockey or a Conditional Jockey.

85.2 For these purposes

**apprentice jockey** means a Person who holds an apprentice jockey's licence granted by the Authority (see Rule 3.4);

**conditional jockey** means a Person who holds a conditional jockey's licence granted by the Authority (see Rule 3.4).

85.3 **apprentice jockey's licence** and **conditional jockey's licence** have the meaning given by Rule 3.4.

## 86. References to other types of rider

86.1 In this Manual, unless the context otherwise requires, **overseas rider**

86.1.1 means a Person who is authorised by a Recognised Racing Authority to ride under the rules of that Racing Authority (whether by grant of a licence, permit or otherwise), but

86.1.2 does not include a Person who also holds a Jockey's Licence or an Amateur Rider's Permit granted by the Authority.

86.2 In Parts 5 to 8, unless the context otherwise requires

**amateur rider** means

86.2.1 a Person who holds an Amateur Rider's Permit granted by the Authority, or

86.2.2 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to such a permit and who rides in a race under these Rules;

**professional rider** means

86.2.3 a Jockey, or

86.2.4 an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to a Jockey's Licence granted by the Authority and who rides in a race under these Rules.

## 87. Other definitions

87.1 Definitions of

87.1.1 terms used in only one Rule are set out in that Rule,

87.1.2 terms used in only Part 6 are set out at the beginning of that Part, and

87.1.3 terms used in more than one Part are set out in Rules 84 to 86 and in the following provisions of this Rule.

87.2 In this Manual, unless the context otherwise requires

**assistant valet** means a person who holds a permit to act as an assistant to a master valet, which is granted by the Authority under Part 7 ;

**Authorised Rider's Agent** means a Person who holds a licence to act as a rider's agent which is granted by the Authority under Part (D)7;

**the Authority** means the British Horseracing Authority;

**the Authority's office** means the office for the time being appointed by the Authority as the office of the British Horseracing Authority (the present address is 75 High Holborn, London, WC1V 6LS);

**betting organisation** means

87.2.1 any bookmaker,

87.2.2 the Tote,  
87.2.3 any company offering spread betting on horseracing or person-to-person betting exchanges on horseracing, and  
87.2.4 the employees of any such organisation;

**chief medical adviser** means the Authority's Chief Medical Adviser;

**Clear Day** means, in determining the number of days:

87.2.4A The day on which the period begins; and  
87.2.4B If the end of the period is defined by reference to an event, the day on which that event occurs

are excluded.

**Clear Working Day** means, in determining the number of days:

87.2.4C The day on which the period begins; and  
87.2.4D If the end of the period is defined by reference to an event, the day on which that event occurs; and  
87.2.4E Saturday, Sunday, Bank Holiday, or day on which the Authority's office is not open for non-automated commercial business

are excluded.

**disciplinary action** means any action taken by the Authority under Part (A)6 or by the Stewards under Part (B)1;

**disqualified person** means a person who is for the time being a disqualified person pursuant to

87.2.5 these Rules,  
87.2.6 any Rules of Racing previously in force,  
87.2.7 the Regulations for Point-to-Point Steeple Chases, or  
87.2.8 the Regulations for Arabian Horse Racing;

**hunters' steeple chase** means a weight-for-age steeple chase which is confined to amateur riders and to horses certified by a Master of Hounds to have been hunted;

**master valet** means a person who holds a licence to act as a master valet which is granted by the Authority under Part 7 ;

**medical record book** means a document issued by the Authority or a Recognised Racing Authority to a rider for the purpose of setting out his medical and injury history;

**national hunt flat race** means a flat race for horses which at starting have not run under any recognised Rules of Racing except in national hunt flat races held under these Rules or in Irish national hunt flat races or in French AQPS races (and, by virtue of race conditions, no horse aged more than 7 years old will be eligible to start in a national hunt flat race.);

**parental responsibility** has the same meaning as in the Children Act 1989;

**person** includes a body corporate;

**prescribed** means prescribed by the Authority;

**racecourse managing executive** means the person who holds a racecourse licence granted by the Authority under Part (F)2;

**racecourse medical officer** means any registered medical practitioner who is engaged by the racecourse managing executive to provide medical cover for riders at a race meeting held at the racecourse;

**racecourse property** means any property owned, used or controlled by the racecourse managing executive;

**Racing Administration Internet Site** means the internet based administration service provided by the Authority, which can be accessed at [www.racingadmin.co.uk](http://www.racingadmin.co.uk);

**The Racing Calendar Office** means the office for the time being appointed by the Authority as The Racing Calendar Office (the present Racing Calendar Office is at Weatherbys, Sanders Road, Wellingborough, Northamptonshire, NN8 4BX);

**recognised racing authority** means a racing authority of a country which is for the time being recognised by the Authority under Part (A)8 (specific functions of the Authority);

**restricted period**

has the meaning given in Rule 32;

**these Rules** means all the Rules of Racing, including provisions which are contained in any other Manual;  
**trainer**

87.2.11 means any person who holds a licence or permit to train which is granted by the Authority or whose authorisation by a Recognised Racing Authority corresponds to such a licence or permit;  
and

87.2.12 includes any person who is treated as a trainer in accordance with Rule (C)1.2 (horse trained solely for hunters' steeple chases, the Grand Military Gold Cup or the Royal Artillery Gold Cup);

**VAT** means value added tax for the time being in force.

87.3 Words importing the masculine gender include the feminine.

87.4 The singular includes the plural (and vice versa).

## **SCHEDULES**

### **Schedule 1 - Reciprocal clearance agreement when riding overseas**

1.1 The reciprocal clearance agreement means the agreement between certain Racing Authorities which includes provision dispensing with the need for a rider to produce evidence of clearance to ride by his Racing Authority each time he proposes to ride under the Rules of another Racing Authority.

1.2 Racing Authority means a Racing Authority which is a signatory to the reciprocal agreement.

2. The countries of which the Racing Authorities are signatories to the reciprocal clearance agreement are listed in table 1.

Algeria	Germany	Morocco	Switzerland
Argentina	Greece	Netherlands	Tunisia
Australia	Hong Kong	New Zealand	Turkey
Austria	India	Norway	U.A.E
Bahrain	Ireland	Peru	Uruguay
Belgium	Isle of Man	Poland	Venezuela
Brazil	Israel	Qatar	Yugoslavia
Canada	Italy	Romania	
Chad	Japan	Russia	
Channel Islands	Korea	Saudi Arabia	
Chile	Lebanon	Slovakia	
Cyprus	Macau	Slovenia	
Czech Republic	Malaysia/Singapore	South Africa	
Denmark	Mauritius	Spain	
France	Mexico	Sweden	

### **Schedule 2 - Equipment**

#### **PART 1**

Skull caps and safety vests

#### ***Design of skull cap***

1. A skull cap is approved by the Authority if it meets (BS) EN 1384: 2012\*, PAS 015: 2011, SNELL E2001, VG1 01.040 2014-12, or UTAC/CRITT 04/2015.

2. The skull cap must not have a chin cup, cradle or draw lace.

3. The chin strap must pass under the jaw and be attached to the harness by a quick release buckle.

4. The skull cap must not have metal hooks.

\* (BS) EN 1384: 2012 will be removed as acceptable standards on and after 1 January 2017.

### ***Fitting of skull cap***

5.1 The skull cap must be of the correct size for the Rider and must be correctly fitted and fastened.

5.2 The face harness must be correctly adjusted and the chin strap fastened at all times when the Rider is mounted on a horse.

### ***Design of safety vests***

6. A safety vest must conform to (BS) EN 13158: 2009.

7. A safety vest must not be

7.1 modified in any way, or

7.2 attached to the horse or any equipment carried by the horse.

## **PART 2**

### ***Whips***

8. As regards a whip carried in a flat race

8.1 the maximum length (including flap) is 70 centimetres, and

8.2 there must be no binding within 17 centimetres of the end of the flap.

9. As regards a whip carried in a steeple chase or hurdle race

9.1 the maximum length (including flap) is 68 centimetres, and

9.2 there must be no binding within 23 centimetres of the end of the flap.

10. The minimum diameter for a whip is 1 centimetre.

11. The overall weight must not exceed 160 grams.

12. The contact area of the shaft must be smooth, with no protrusion or raised surface, and covered by shock absorbing material throughout its circumference such that it gives a compression factor of at least 6 millimetres.

13.1 The only additional feature that may be attached to a whip is a flap.

13.2 If a flap is attached, it must comply with the following requirements

13.2.1 the maximum length of the flap from the end of the shaft is 10 centimetres;

13.2.2 the maximum width of the flap is 4 centimetres, with a minimum width of 2 centimetres;

13.2.3 the flap from the end of the shaft must not contain any reinforcements or additions;

13.2.4 the flap must have similar shock absorbing characteristics to that of the contact area

## **Schedule 3 - Banned substances and notifiable medications**

### **PART 1**

This list is not intended to be exhaustive. The use, deliberate or otherwise, of any substance that may convey an advantage to the rider or impair his capability, judgement, coordination or alertness is banned.

### **CATEGORIES OF BANNED SUBSTANCES**

1. Alcohol - at a threshold in the A sample at or above 54 milligrams per 100 millilitres in urine or 17 micrograms per 100 millilitres in breath (as measured using BHA approved, evidential breath testing equipment).

2. Barbiturates, Thiobarbiturates and related compounds.

3. Cannabinoids (or Cannabis metabolites) - at or above a screening threshold in the A sample of 50 nanograms per millilitre as immunoreactive cannabinoids by immuno-assay and confirmed at or over a threshold of 15 nanograms per millilitre 11-nor-delta-9-tetrahydrocannabinol-9-carboxylic acid by gas chromatography/mass spectrometry.

Both measurements must be at or above the stipulated thresholds.

3.1 Any synthetic, semi synthetic or naturally occurring compound that has been shown to have agonist or partial agonist activity at the CB1 or CB2 receptors in the central nervous system

- 3.2 Rimonabant or any other Cannabinoid receptor antagonist whether used as an appetite suppressant or for any other purpose
4. Gamma-hydroxybutyrate (GHB) and pro-drugs of GHB (1,4-Butanediol, Gammabutyrolactone) at or above a threshold of 10 micrograms per milliliter.
5. Dissociative Anaesthetics and related substances. Substances in this group include, but are not exclusively restricted to Ketamine, Phencyclidine, Tiletamine and related compounds.
6. Lysergic Acid Diethylamide (LSD).
7. Sibutramine and related compounds.
8. Stimulants - excluding Caffeine, Phenylpropanolamine and Pseudoephedrine (For Ephedrine see paragraph 10 below).  
Substances in this group include, but are not exclusively restricted to, Amphetamines, Cocaine, and the "Ecstasy" group **e.g. Methylenedioxyamphetamine (MDA), Methylenedioxyethylamphetamine (MDEA), and Methylenedioxymethylamphetamine (MDMA)**. N.B. L-methamphetamine (levo-metamphetamine) is excluded. Cocaine metabolites to be screened at 300 nanograms per millilitre and confirmed at 150 nanograms per milliliter.
- N.B. Salbutamol, Salmeterol, Formoterol and Terbutaline may be taken by inhaler only.
9. Other prohibited stimulants - Clenbuterol, Benzylpiperazine and its derivatives, Ketoamphetamines, Cathinone and its derivatives, whether naturally occurring, synthetic or semi-synthetic.
10. Ephedrine at or above a threshold in the A sample of 10 micrograms per millilitre in urine.
11. Diuretics - substances in this group include but are not exclusively restricted to Furosemide, Glycerol, Acetazolamide, Spironolactone, Thiazides, Amiloride, Triamterine, Canrenone, Diclofenamide, Chlorthalidone, Bumetanide, Etacrynic acid and Piretanide.
12. Methylphenidate.
13. Modafinil, Armodafinil and related compounds.
14. Opiates and Opioids - excluding Codeine, Dextromethorphan, Ethylmorphine, Loperamide and Pholcodine. Substances in this group include, but are not exclusively restricted to, Heroin, Methadone, Morphine, Oxycodone, Fentanyl, Tramadol, Tapentadol, Buprenorphine, Dihydrocodeine and Pethidine. Morphine to be screened at a threshold of 2 micrograms per milliliter in urine.

## **PART 2**

This list is not intended to be exhaustive. The use, deliberate or otherwise, of any substance that may convey an advantage to the rider or impair his capability, judgement, coordination or alertness is banned.

### **NOTIFIABLE MEDICATIONS**

15. Anti-depressants, including but not exclusively restricted to
- 15.1 Monoamine Oxidase inhibitors (MAOIs) including Selegiline
  - 15.2 Tetracyclic Anti-depressants
  - 15.3 Tricyclic Anti-depressants
  - 15.4 5HT reuptake inhibitors and other neurotransmitter re-uptake inhibitors such as Venlafaxine
  - 15.5 Lithium Salts.
16. Benzodiazepines (e.g. Diazepam, Lorazepam, Nitrazepam, Oxazepam, Temazepam) and substances with similar structure or pharmacological activity (e.g. Benzodiazepine receptor agonists, Zaleplon, Zolpidem, Zopiclone).
17. Sedative medications including the H1 receptor antagonists (e.g. Diphenhydramine, Promethazine and Trimeprazine) as well as medications such as Chloral Hydrate and Meprobromate.
18. Anti-Psychotic drugs including Chlorpromazine, Clozaril, Haloperidol, Olanzapine, Phenothiazines, Atypical anti-psychotic drugs, Melatonin agonists (e.g. Ramelteon) and related substances.

## **Schedule 4 - The protocol for the testing of riders for banned substances and procedures for notifiable medications**

### **PART 1**

#### **GENERAL PRINCIPLES**

1.1 This Protocol sets out the measures for the testing of Riders for banned substances and procedures for notifiable medications. The Rules applying to the use of banned substances and notifiable medications are contained in Part 6.



1.2 Terms used in this Protocol have the meaning given in this Manual.

1.3 The lists of banned substances and notifiable medications may be changed by the Authority from time to time.

2.1 The use of Banned Substances (including marijuana, cocaine, amphetamines and alcohol) in contravention of the Rules is forbidden. This policy is designed to prevent dangers associated with using these substances both to the individuals themselves and to others participating in the sport of horseracing.

2.2 Banned substances are those listed in Part 1 of Schedule 3.

3.1 In addition, there are other substances (referred to as Notifiable Medications) where usage in conjunction with race-riding may present an unacceptable danger. When these medications are being used it is therefore necessary for the Authority's Chief Medical Adviser (CMA) to give his consent enabling the Rider to race-ride.

3.2 Notifiable medications are those listed in Part 2 of Schedule 3.

### **Guidelines for disciplinary action**

4. Disciplinary action may be taken against a person who is found to have used a banned substance or notifiable medication in contravention of a Rule. Guidelines for such action may be found in the Guide to Procedures and Penalties available from the Authority.

### **Other substances adversely affecting health or performance**

5. The Authority may require a UKAS (United Kingdom Accreditation Service) accredited laboratory (see Paragraph 14) to report the finding of substances other than banned substances or notifiable medications which may adversely affect a Rider's health and performance. These findings will be presented so as to protect the identity of the individuals concerned.

### **Sampling**

6.1 The procedure for collecting samples for analysis is termed sampling and may be carried out at any time on a racecourse or off-course in certain circumstances. The chosen biological matrix for sampling will be urine, sweat, saliva, blood, breath, or hair (for the purposes of enhanced controls pursuant to Part 7 below only). There are separate arrangements described later for testing for alcohol. The Rider must submit to sampling if requested by a Sampling Officer unless exemption has been granted (see Paragraph 20). A Sampling Officer (or SO) means a person authorised directly by the Authority or by an agent approved by the Authority to collect samples from Riders under Part 6 in accordance with the sample collection procedures laid down in this Protocol.

6.2 Sample collection procedures will conform generally to the procedures adopted by the Authority contained within this Protocol.

### **Procedure following positive analysis of a sample**

6.3 When there is a positive analysis of the 'A' sample the procedures laid down in Part 6 of this Protocol will apply. The phrase positive analysis when used in this Protocol is a reference to an analysis the result of which could form the basis of a finding of a contravention of any provision of Part 6.

7. Subject to Paragraphs 8 and 9, the Rider will not be suspended or subjected to other disciplinary penalty under these Rules unless a disciplinary hearing finds that the Rider is in contravention of any provision of Part 6. However the CMA may consider the Rider as unfit to ride if the 'A' sample shows the presence of a notifiable medication (Rule 64) or when the Rider has informed the CMA that he has been prescribed a notifiable medication or if a Rider records a further positive analysis for any banned substance before any disciplinary hearing (except when the substance is alcohol and the Rider had no riding engagements on the day of the test (see Rule 65)). In all such cases the CMA's recommendation to suspend the Rider must be considered by the Licensing Committee which will make the decision on whether or not to suspend and on what terms and conditions. (See also Parts 7 and 10 of this Protocol).

8. A Rider will be suspended from riding on a race day if two breath samples indicate the presence of alcohol at or above the limit specified in Schedule 3 (see also Paragraph 48).

9. At the point of notification in Paragraph 56, in the case of a positive result arising from analysis of the 'A' sample (in respect of banned substances and notifiable medications other than alcohol and diuretics only), the Licensing Committee may suspend the Rider's licence or permit with immediate effect pending a disciplinary hearing. Any decision to impose such a suspension will not be subject to an appeal, however the Rider will be entitled to a disciplinary hearing on an expedited basis. Save in exceptional circumstances, any period of provisional suspension served will be credited against any penalty imposed by the Disciplinary Panel. The Rider may submit an explanation for the positive result within 3 working days of the notification in Paragraph 56. If the CMA considers this to be adequate (who in assessing such explanation may seek any expert opinion he deems appropriate) he shall notify the Licensing Committee who will lift the suspension immediately and the Rider will be notified. If the Rider requests that a 'B' sample analysis takes place and such an analysis does not confirm the result of analysis of the 'A' sample, the suspension will come to an end at the point of notification of the result of

any such 'B' sample analysis to the rider.

10. Failure by a Rider to comply with the measures in this Protocol in relation to banned substances or notifiable medications shall be regarded as a contravention of Rule 61 unless this Protocol expressly provides otherwise.

10A. Upon receipt of a report from the SO or a Steward that a Rider has failed to comply with the sampling procedures contained in Rule (D)61, the Licensing Committee may provisionally suspend the Rider's licence or permit with immediate effect. Any decision to impose such a suspension will not be subject to an appeal, however the Rider will be entitled to a disciplinary hearing on an expedited basis. Save in exceptional circumstances, any period of provisional suspension served will be credited against any penalty that may be imposed by the Disciplinary Panel. The Rider may submit an explanation as to his reasons for refusing or failing to cooperate with the sampling procedure within 3 working days of notification of the provisional suspension. The Licensing Committee, in conjunction with the CMA where appropriate, will consider that explanation. If the explanation is deemed adequate by the Licensing Committee, the provisional suspension will come to an end immediately and the Rider will be notified.

11. Any reference to the CMA in this Protocol includes his Deputy duly approved by the Authority.

## **PART 2**

### **GENERAL TESTING PROCEDURES FOR BANNED SUBSTANCES**

12. Sampling will be carried out by SOs at, wherever possible, a sampling station based at the racecourse. The sampling station may consist of a mobile van or a suitable alternative location adapted for the purposes necessary for carrying out sampling.

13. The SOs will identify themselves to the Clerk of the Scales on arrival at the racecourse. The Clerk of the Scales will notify the Clerk of the Course of this arrival and confirm parking arrangements for the sampling station when it is a mobile van.

14. Analyses of urine samples will only take place at a UKAS accredited laboratory approved by the Authority. In all cases the laboratory carrying out the 'B' sample analysis will have access to the complete results/ documentation of the 'A' sample analysis.

15. Breath testing for alcohol shall take place using equipment approved for that purpose by the Authority.

## **PART 3**

### **SELECTION AND NOTIFICATION OF RIDERS AT RACECOURSES - URINE SAMPLES**

16. It is the Authority's intention that testing shall be weighted as between different classes of Riders with the aim that Riders with a full licence will be more likely to be selected for testing. Accordingly, the CMA may instruct SOs as to how many tests are to take place in relation to different categories of Rider, viz: full licence, conditional licence or apprentice licence or amateur permit at any particular meeting at which urine sampling is to take place.

17. The Clerk of the Scales will provide the SOs with a complete list of all Riders declared for racing on that day by category from each of which category a number will be selected at random for urine sampling. Under normal circumstances random sampling will involve the selection of at least 10 Riders for urine sampling, or such other number as the CMA may have directed.

18. The selection procedure requires each Rider to be allocated a unique number. Sequentially numbered discs (one for each Rider) or suitable alternatives shall be placed into a bag and the quota determined by the CMA shall be taken out unseen by the Clerk of the Scales in the presence of the SO and another BHA Official but the results will be kept confidential. Only the selected Riders will be informed and only about their own selection. A Rider is selected if his allocated number matches a drawn number. Riders subject to enhanced testing who are engaged to ride at the meeting will be added to the list of Riders to be tested, along with any other Riders subject to targeted testing at the discretion of the Authority (with the prior specific authorisation of at least one Executive Director of the Authority).

19. The Riders selected for urine sampling shall be so notified by the Clerk of the Scales or other BHA Official on his behalf as soon as practically convenient after arriving at the racecourse. Riders will be required to sign to indicate their acknowledgement of the notification. A Rider so notified must not leave the racecourse at any time before his having provided a complete sample (see Paragraph 29) unless exemption is obtained from the Stewards of the Meeting.

20. Each selected Rider must report to the sampling station and produce his Privilege Access Swipe System (PASS) Card to establish his identity. If the Rider does not have his PASS card, his identity must be established to the reasonable satisfaction of the Clerk of the Scales or other BHA Official, or racecourse member of staff, on his behalf. Each Rider must provide a urine sample for analysis and sign the Chain of Custody Form (CoCF) in the presence of the SO prior to leaving the racecourse unless exemption is obtained from the Stewards. Such exemptions will be made only in very limited circumstances where the Stewards consider it appropriate to do so,

for example, where a Rider is engaged to ride at a further meeting taking place that day, or, the Rider is unable to get to the meeting, although these examples are not exhaustive. In any case where exemption has been granted by the Stewards, the Stewards will notify the Clerk of the Scales who will sign the CoCF as confirmation of the exemption. Riders who obtain exemption may be required to undergo off course testing (see Part 8 of this Protocol) at the discretion of the CMA.

Without an exemption being granted by the Stewards as above

20.1 leaving the racecourse before providing a complete urine sample (see Paragraph 29) shall be deemed to be a refusal to provide a sample and therefore a contravention of Rule 61 unless the Rider can establish that it was necessary to leave the racecourse (or some other similarly good reason why he should not be found in contravention of Rule 61).

20.2 failure by the Rider to report to the sampling station within 30 minutes of the finishing time of the last race of the meeting shall be deemed to be a refusal to provide a sample and therefore in contravention of Rule 61 unless the Rider can establish that it was impossible to report to the sampling station or to provide a complete urine sample (or some other similarly good reason why he should not be found in contravention of Rule 61).

21. It is recommended that a selected Rider reports to the sampling station and provides a urine sample as soon as reasonably practicable and, as emphasised above, must so report no later than 30 minutes after the finishing time of the last race of the meeting.

22. The Clerk of the Scales will provide a copy of this Protocol to any selected Rider upon notification of his selection if so requested.

#### **PART 4**

#### **URINE SAMPLING PROCEDURES**

23. The following procedures will operate.

24. The time of arrival of the Rider at the sampling station will be noted on the CoCF.

25. The identity of the Rider and any accompanying person will be confirmed and noted on the CoCF.

26. Sample collection procedures will be explained to the Rider.

27. When ready to provide a sample of urine the Rider will select a plastic collecting vessel in a sealed wrapper. The collecting vessel will be disposed of after use and new collecting vessels will be used to obtain partial samples.

28. The Rider will accompany the SO to the room where the sample is to be given.

29. The Rider will urinate into the collecting vessel under the supervision of the SO. A minimum of 30 ml of urine will be required for the sample to constitute a complete sample. Where a selected Rider has attended the sampling station but has provided no sample or only a partial urine sample, the Rider must return to the sampling station, within 30 minutes of the finishing time of the last race of the meeting in order to provide a complete sample and in any event must not leave the racecourse before providing his completed sample. Should a Rider fail to comply with these requirements any partial sample (that is less than 30 ml) will not proceed to analysis, and will be destroyed.

30. To ensure authenticity of the sample, the SO may require such disrobing as is necessary to confirm the urine has been correctly produced by the Rider. This means exposure of the body from the middle of the back to below the knees. If the SO has reason to believe that the sample given is not a true sample, a further sample will be required and both samples will be sent to the laboratory in accordance with the procedures in the following provisions of this Protocol.

31. The Rider shall return to the administration area of the sampling station and shall choose a pair ('A' and 'B') of empty bottles from a standard sampling control kit. These kits will have been delivered to the sampling station by one of the SOs and will remain unopened until the bottles are required for use. The bottles will bear unique identification.

32. Either the Rider (or, if requested, the SO) shall divide between the 'A' and 'B' bottles approximately 15ml or half the urine sample into the 'A' bottle and approximately 15ml or the other half of the sample into the 'B' bottle. This procedure shall take place in the presence of the SO, the Rider and any accompanying person as applicable.

33. The bottles shall be tightly sealed and tested by the Rider or the SO by inverting the bottles in the presence of the Rider and any accompanying person.

34. The bottles shall be placed into their corresponding containers and sealed and their unique identification will be noted on the CoCF. The Rider and the SO shall check the container seal and the unique identification against that recorded on the CoCF. Any accompanying person shall be invited to do likewise.

35. The Rider will be asked to identify and declare (to the best of his ability) any drugs or medications taken within the last seven days. The names of such medications and/or treatments and the approximate dosage(s) shall be noted on the CoCF.
36. The Rider and the SO must sign the CoCF and any accompanying person shall be invited to do likewise. Any irregularities in the sample collection procedure identified by the Rider or any accompanying person shall be indicated on the CoCF before signature otherwise the signature will certify that the Rider is satisfied with the sample collection procedure.
37. The CoCF consists of one original (white) and two copies (coloured yellow and blue). The original (white) shall be sent to the approved laboratory, the (yellow) copy shall be sent to the CMA and the (blue) copy shall be handed to the Rider.
38. If the Rider provides insufficient urine, the partial sample shall be stored until 30 minutes after the finishing time of the last race in a temporary bottle and sealed in the corresponding container. The temporary bottle and container will also bear unique identification which shall be confirmed by the Rider and noted on the CoCF. When the Rider is ready to provide more urine, a further collecting vessel shall be selected by the Rider and the sample provided under observation. The Rider shall return to the administration area and check the seal on the temporary container before the SO breaks it and pours the additional urine from the collecting bottle into the temporary bottle. If the sample is still insufficient, the sealing and recording procedures are repeated. However, when sufficient urine has been provided (30 ml), the procedure will continue as from Paragraph 32.
39. A Rider who has attended the sampling station to provide a urine sample but has not provided a sample and who needs to leave the sampling station before having produced a complete sample (eg to ride in a race at the meeting or to attend an enquiry) will be required to sign to indicate his acknowledgement that he must return as in Paragraph 29. During the Rider's absence, any partial urine sample in the sealed temporary bottle and container will be handled as if it were a complete urine sample and the Rider's absence noted on the CoCF.
40. A refusal or failure to provide a sample or to comply with any requirement of this Protocol is a contravention of Rule 61. If a Rider fails or refuses to give a complete sample or otherwise fails or refuses to comply with any requirement of this Protocol, that fact shall be noted by the SO on the CoCF. The form shall be signed by the Rider if he is present and the SO and any accompanying person shall be invited to do likewise and the form then distributed in accordance with Paragraph 43. A refusal by the Rider to sign the CoCF following a request to do so shall itself be a contravention of Rule 61.
41. The sealed containers carrying the 'A' and 'B' samples will be placed in an outer transport bag together with a sealed envelope containing the laboratory copy of the CoCF. The envelope shall be labelled 'Confidential' and contain details of the number of 'A' and 'B' samples enclosed. Seal numbers for the return journey to the laboratory will be documented.
42. The CMA's copy (yellow) of the CoCF shall be placed in the stamped addressed envelope provided, sealed and labelled 'Confidential' and sent immediately. The number of 'A' and 'B' samples collected will be recorded on the CoCF.
43. The SO shall complete an SO report form indicating the number of 'A' and 'B' samples collected, the selection procedure, and details of any matters which might need to be brought to the attention of the CMA and the approved collecting agent relating to facilities, unusual circumstances or any other relevant matter. The racecard and/or Rider list should be appended to this form. The SO report form shall be forwarded to the approved collecting agent.
44. The samples shall be returned to the laboratory by the SO as soon as possible after collection, utilising a secure chain of custody arranged by the Authority or the approved collecting agent.
45. After all Riders selected for sampling have produced a complete sample or 30 minutes after the finishing time for the last race of the meeting has passed, whichever is earlier, the SO will contact the Clerk of the Scales to inform him whether or not all selected Riders have been accounted for.

## **PART 5**

### **BREATH TESTING FOR ALCOHOL SAMPLING PROCEDURES AND OTHER SAMPLING PROCEDURES**

46. Breath testing for alcohol shall take place on a non-selective basis, which is to say that an SO will conduct breath testing at such meetings as the CMA may require them to attend for that purpose and every Rider present at the meeting and engaged to ride will be required to provide a breath sample. Each Rider will be required to produce his PASS card to establish his identity. If the Rider does not have his PASS card, his identity must be established to the reasonable satisfaction of the Clerk of the Scales or other BHA Official, or racecourse member of staff, on his behalf.
47. Where an SO is present at a meeting to administer breath tests, a Rider will not be permitted by the Clerk of the Scales to weigh out for his first riding engagement of the meeting until he completes the procedures for breath

testing, including where this Protocol so requires, giving a second sample.

48. When a Rider is required to report to the sampling station in order to give a breath sample for alcohol the procedures will be explained to him. A failure to provide a breath sample immediately when required shall be deemed to be a refusal to provide a sample and therefore a contravention of Rule 61 unless the Rider can establish that it was impossible to provide a breath sample (or other reasonable grounds why he should not be found in contravention of Rule 61). Exemption from testing will not normally be granted by the Stewards in respect of breath sampling. In the first instance, a screening sample will be tested, the result of which will indicate whether an immediate breath test to obtain a quantitative reading is necessary. A breath sample which, after being subjected to such a quantitative test, indicates the presence of alcohol at or above the limit specified in Schedule 3 will result in a further breath sample being taken within 15 minutes of the first. If the second breath sample confirms the result of the first breath sample (a failed breath test) the Rider will be suspended from riding for that day forthwith and the Stewards will refer the matter to the Authority.

49. The results of these two tests will be recorded and the Rider will be informed of the results. The lower of the two readings shall be used to determine the level of seriousness of the Rule contravention which may have been committed (see Guide to Procedures and Penalties).

50. When the lower of the two readings is between 17 and 50 micrograms per 100 millilitres in breath, the Rider may elect to provide a urine sample of not less than 30 ml. If the Rider fails to provide such a urine sample within 30 minutes of the second breath test, disciplinary action will proceed on the basis of the lower of the readings given by the breath testing equipment.

51. The taking of a urine sample will follow as closely as the circumstances reasonably allow the urine sampling procedure set out in this Protocol, save for the requirement in Paragraph 50 of this Protocol that the required volume of the sample must be provided within 30 minutes of the second breath test. If a Rider is unable to provide such a sample within the prescribed period, such sample, if any, as he is able to provide will be destroyed. Where a urine sample has been provided in the required amount within the prescribed time, any disciplinary action will proceed on the basis of the result of the urine sample without reference to the result of the breath test unless there is cause to doubt the validity of the analysis of the urine sample or its identification, in which event the lower of the two breath tests may be relied upon.

52. The CMA will notify the rider of the result of an analysis of any urine sample. In cases not involving a urine sample steps to convene an enquiry before a Disciplinary Panel into a possible contravention of the Rules will be taken promptly following the result of a failed breath test. In cases where a urine sample is involved, steps to convene an enquiry will be taken shortly after the Rider is notified of the result of the sample analysis.

53. A list of equipment approved by the Authority for determining alcohol levels by analysis of exhaled air will be available on request from the Authority. Sampling procedures will conform generally with the procedures prescribed by the manufacturer of the equipment in question.

54. When a Rider is required to provide sweat or saliva samples the procedures for taking swabs (which shall have been approved by the Authority and available on request from the Authority) will be explained to him.

## **PART 6**

### **NOTIFICATION OF RESULTS**

55. The results of the analyses of all samples shall be passed directly to the CMA, the Senior Medical Administrator and the Head of Integrity (Operations), and shall not be disclosed to a third party other than the Rider as in Paragraph 56 and such other persons that are required to receive them in accordance with the terms of this Protocol.

56. These results will, wherever possible, be notified to the relevant Rider within 72 hours of receipt by the CMA in such a way as may reasonably be expected to protect the Rider from identification.

57. If analysis of the 'A' sample shows a positive result the Rider may provide an explanation for the positive result to the CMA and require within 3 working days of the notification in Paragraph 56 analysis of the 'B' sample. Wherever possible, the 'B' sample will be analysed within 10 working days of the requirement and at the original laboratory. However, the Rider may also require within 3 working days of the notification in Paragraph 56, that the 'B' sample is analysed at another UKAS accredited laboratory approved by the Authority. A Rider will forego the opportunity to have the 'B' sample analysed or to choose an alternative laboratory for such analysis if he fails to take the necessary action within the aforesaid time periods. Where the Rider requires analysis of the 'B' sample, the Disciplinary Panel may order the Rider to pay the costs of the analysis of the 'B' sample (up to a maximum of £1000) if it is satisfied that the Rider should have accepted the result of the analysis of the 'A' sample having regard to the knowledge of and the information which was available to the Rider at the time.

58. The Rider concerned, and/or a representative is entitled to be present during analysis of the 'B' sample at the laboratory on production of appropriate identification. The Rider will be consulted over the fixing of the

appointment for the analysis of the 'B' sample and the Authority will use reasonable endeavours to accommodate the Rider and his chosen representative. The Rider shall be entitled to not less than 3 working days' notice of the date of the analysis but his presence is not essential to the process and he shall have no complaint if the appointment is inconvenient for him or his representative even to the extent of making their presence impossible. 59. The result of 'B' sample analysis will, wherever possible, be notified to the Rider within 72 hours of receipt by the CMA.

60. If the Rider does not request analysis of the 'B' sample within the stipulated period or analysis of the 'B' sample confirms a positive result the matter will be referred to the Compliance Department for preparation of disciplinary charges and arrangement of a Disciplinary Panel enquiry. In this Protocol positive result means the result of an analysis of a sample which shows the presence of any banned substance or notifiable medication as defined and provided for in Rule 58. When analysis of a 'B' sample takes place and it does not confirm a positive result the Rider will not be in contravention of Rule 64 or 65.

## **PART 7**

### **ENHANCED CONTROLS**

61. Riders penalised for a contravention of any provision of Part 6 may, at the discretion of the Authority, be obliged to submit to an enhanced sampling programme on and off-course as a condition of reinstatement and to undergo additional sampling during the period of suspension, off-course. In addition, a Rider who is the subject of a positive 'A' sample may be obliged to submit to an enhanced sampling programme on and off-course until the time of the disciplinary hearing or until any 'B' sample fails to confirm the result, whichever is the earlier (see Parts 8 and 9 of this Protocol).

62. Riders penalised by a Recognised Racing Authority or convicted by a criminal court for an offence relating to drugs may, at the discretion of the Authority, also be required to submit to an enhanced on and off-course programme of sampling over a period of 60 months from the time when the penalty or conviction is imposed. Note: Riders found to have committed an offence relating to drugs and disqualified by a Recognised Racing Authority should note the provisions of Rule (A)68 (person disqualified by order of a Recognised Racing Authority).

63. Riders required to submit to an enhanced programme of sampling must be notified in writing of this requirement and shall not be selected for enhanced sampling before such notification has occurred. The contents of any such letter addressed to the Rider at the address most recently given to the Authority's office as his address, shall be regarded as having been notified to him 7 days after the date of posting.

64. Riders subject to enhanced testing will be identified by an official list supplied by the Authority given to the lead SO. The list will be time limited and regularly reviewed.

65. Following the random selection procedure, any Rider subject to enhanced testing who has not been selected by the random selection procedure may be required to undergo sampling in accordance with the sampling procedure specified in Part 4 of this Protocol.

## **PART 8**

### **SAMPLING TESTS CONDUCTED OFF-COURSE**

66. If a Rider is exempted from a sampling test at the racecourse or is subject to an enhanced sampling programme or is ordered by the Stewards under Rule (B)8 to submit himself to testing for the presence of a banned substance or notifiable medication, he may be required to undergo off-course testing and the procedure outlined below will operate unless Paragraph 73 or Part 9 of this Protocol applies.

Note: a Rider who is selected for random urine sampling and who fails to arrive at the racecourse will be required under Rule (B)8 to undergo off-course testing.

67. An SO will contact the Rider by telephone or in person, without prior notice, to notify the Rider of his selection for off-course testing. The SO will carry appropriate authorisation naming the individual, together with his SO identity card.

68. The SO will make a minimum of three attempts to contact the Rider over a period of 5 days. The SO shall not identify the purpose of the contact to anyone other than the Rider. If the Rider is unavailable or absent throughout this time from the address provided by the CMA, then the SO shall forward a report of non-availability to the approved agent.

69. When the SO contacts the Rider by telephone, a time and place for collection of the sample will be arranged as soon as possible and no later than within 8 hours of the contact. The Rider will be invited to propose a close and easily accessible meeting point and a reasonable time and suitable, private place for sampling. The Rider's suggestion will be the sampling place provided the SO agrees that such place is suitable for carrying out the sampling procedures. If the SO acting reasonably considers the suggested sampling place is unsuitable the Rider

must propose an alternative(s) until the SO is able to agree one which is suitable. The SO will wait for one hour at the proposed meeting point beyond the time agreed. Thereafter the Rider shall be declared as absent from testing and a report made to the approved agent.

70. The Rider shall attend at the time and meeting point agreed. Any Rider who fails to suggest a reasonable time and sampling place and/or who fails without reasonable cause to attend the agreed meeting point at the agreed time and/or who having attended as agreed fails without reasonable grounds to provide the requisite sample or samples shall be deemed to have refused a sample in contravention of Rule 61.

71. The Rider will be advised to bring means of identification and of his right to be accompanied by one other person during the sample collection procedure. Any accompanying person should also bring means of identification. Details of the means of identification will be recorded on the CoCF and SO report form.

72. If the SO notifies the Rider in person without prior notice, sample collection procedures may begin immediately.

73. Urine sampling will also be conducted off-course at the British Racing School and Northern Racing College when a Rider is attending riding courses run by either establishment. Any Rider attending such courses may be subject to sampling which will not be conducted on a random sampling basis. If analysis of a urine sample in such circumstances shows a positive result the procedures specified in this Protocol for such eventuality apply and the matter will be referred to the Integrity, Legal and Risk Department. The procedures specified in Paragraphs 67 to 72 do not apply to such sampling.

74. Sample collection procedures conducted off-course will as far as practicable follow those specified in Part 4 of this Protocol.

## **PART 9**

### **PROCEDURES TO BE FOLLOWED REGARDING REINSTATEMENT**

75. Following the withdrawal of a Rider's licence or permit for contravention of Rule 61, 63, 64 or 65, the Rider should contact the CMA halfway through the period of withdrawal in order to make arrangements for the completion of any reinstatement protocol in force from time to time prior to the end of the period of withdrawal. In any event, the Rider must give the CMA a minimum of 4 weeks' notice of his intention to apply for the reinstatement of the licence or permit.

76. During the said 4 week period the Rider must be available at all times in Great Britain (England, Scotland and Wales) for ready contact. A contact address and telephone number must be provided with the notice which will enable the SOs and/or counsellors appointed by the Authority to contact the Rider for testing without notice and counselling.

77. If the SOs and/or counsellors appointed by the Authority are unable to contact the Rider on two occasions an explanation will be required from the Rider and is likely to lead to the licence or permit application being delayed.

## **PART 10**

### **PROCEDURES FOR NOTIFIABLE MEDICATIONS**

78. When a Rider is prescribed by a medical practitioner any notifiable medication (as listed in Part 2 of Schedule 3) the Rider must inform the CMA of that fact immediately.

79. After the CMA has been informed that a Rider has been prescribed a notifiable medication he will consider whether the Rider is unfit to ride. In appropriately serious cases he may recommend forthwith to the Authority's Licensing Committee that the Rider's licence be suspended until such time as is necessary for the procedures specified in Paragraphs 80 and 81 to be completed. The Licensing Committee may make its decision without a hearing and without the Rider being given prior notice of the recommendation.

80. To enable the CMA to consider whether the Rider is or is not fit to ride, the Rider must confirm in writing that he has been prescribed a notifiable medication accompanied by a report from his medical practitioner stating the diagnosis and the prognosis for recovery. The Rider will provide, if so required by the CMA, the Rider's permission to contact the Rider's medical practitioner and/or specialist and to obtain such further medical report(s) and history as the CMA may reasonably deem necessary relevant to his assessment of the Rider's fitness to ride and will submit to any medical examination by the CMA and/or an independent medical practitioner as the CMA may require.

81. Upon completion of the process the CMA may either

81.1 authorise the Rider to continue to ride, or

81.2 recommend to the Licensing Committee that the Rider's licence or permit be suspended until such time as the course of medication is completed or the Rider's medical status is no longer a cause for concern. The Licensing Committee may make its decision without a hearing and without

the Rider being given prior notice of the recommendation.

82. The Rider may invoke the Medical Review Procedure in relation to any suspension imposed by the Licensing Committee following a recommendation by the CMA.

83. Where it is established that a Rider has failed to obtain the written authorisation referred to in Paragraph 80 he will be in contravention of Rules 63 and 64.

## **Schedule 5 - Deleted**

## **Schedule 6 - Fees**

### ***Flat races***

1.1 Paragraph 1 applies to any Professional Rider (including an Overseas Rider) riding in a flat race run under these Rules.

1.2 Subject to Paragraph 5.2, the fee payable to the Professional Rider for a race is £120.66.

1.3 If VAT is payable, it must be paid in addition to the fee unless the Professional Rider is an Apprentice Jockey (in which case the fee paid shall be inclusive of VAT where applicable).

2. Where a fee under Paragraph 1 is payable to an Apprentice Jockey, the Apprentice Jockey and his employer must each pay a sum of 5.0% of their share of the fee to the Authority for industry training.

### ***Steeple chases, hurdle races or National Hunt Flat Races***

3.1 Paragraph 3 applies to any Rider (including an Overseas Rider) riding in a steeple chase, hurdle race or National Hunt Flat Race run under these Rules.

3.2 Subject to Paragraph 5.2, the fee payable to the Professional Rider for a race is £164.74.

3.3 If VAT is payable, it must be paid in addition to the fee unless the Professional Rider is a Conditional Jockey (in which case the fee shall be inclusive of VAT where applicable).

3.4 In the case of an Amateur Rider no fee is payable except where he

3.4.1 rides in a race that is not confined to Amateur Riders, and

3.4.2 has had more than 75 rides in Great Britain in races open to Professional Riders,

when a sum equal to the fee payable under Paragraph 3.2 must be paid to the Authority unless the horse is the sole property of one or more of the Persons listed in Paragraph 3.5.

3.5 The listed persons are

3.5.1 the Amateur Rider,

3.5.2 his spouse or civil partner,

3.5.3 any of his parents, grandparents, sons, daughters, grandchildren, brothers or sisters, or

3.5.4 the executors or administrators any of the above.

4.1 Where a fee under Paragraph 3 is payable to a Conditional Jockey

4.1.1 subject to Paragraph 4.2, the sum of 3.75% of their share of the fee must be paid to the Authority by both the Conditional Jockey and his employer where the Conditional Jockey is eligible to claim a 7lb weight allowance under Rule (F)141, or

4.1.2 the sum of 7.5% must be paid by the Conditional Jockey to the Authority if the Conditional Jockey is no longer eligible to claim the 7lb allowance.

4.2 The sum is not payable by the employer if the employer is a Trainer who holds a permit granted by the Authority.

4.3 All sums payable are for industry training.

### ***Fees becoming due***

5.1 Subject to Paragraph 5.2, a fee under Paragraph 1 or 3 becomes payable

5.1.1 in a case where the Stewards have given permission for a horse to proceed to the start before the signal to mount is given, once the Rider has mounted, and

5.1.2 otherwise, once the signal to mount is given.



5.2 A Rider shall not be entitled to any fee, and the Owner shall not be payable for any fee, in respect of a race where the Rider is found to have contravened any of the following Rules

5.2.1 Rule (B)53 (dangerous riding), or

5.2.2 Rule (D)47 (failure to present himself to be weighed in).

6. Where a fee is payable under Paragraph 1 or 3, the Owner of the horse must pay an additional sum equivalent to 13% of the fee to the Trustees of the Professional Riders Insurance Scheme for application under the trusts of the Scheme.

7. Subject to Paragraph 5, an additional fee shall be payable where the Stewards authorise the substitution of a Rider following weighing out in exercise of their powers under Rule (B)25.2.2 (late change of rider after weighing out).

#### ***Fees payable-on-course physical therapy***

8. Where a fee is payable under Paragraph 1, 3 or 7 to a Professional Rider, the Rider shall pay the sum of

8.1.1 0.5% in respect of a flat race

8.1.2 0.65% in respect of a steeple chase, hurdle race or a National Hunt Flat Race

to the Authority for the provision of on-course physical therapy services.

#### ***Fees for Master Valets and Assistant Valets***

9.1 A Master Valet or an Assistant Valet shall be paid a daily attendance entitlement in relation to each occasion that he attends and provides services at a race meeting.

9.2 The payment shall be made from the Jockey's Valets' Attendance Fund and the rate shall be such as the Authority may from time to time decide.

9.3 Jockey's valets' attendance fund means such organisation as the Authority may from time to time specify as being the organisation which it considers best represents the interests of jockey's valets.

#### ***Fees for Professional Rider when horse is a non-runner***

10.1 Any Professional Rider who has been declared to ride a horse under Rule (F)92 or substituted to ride a horse under Rule (B)25 but whose horse is subsequently made a non-runner at or after 9.00a.m. on the day of the race will receive a fee of £48.26(Flat) and £65.90(Jump).

10.2 If VAT is payable, it must be paid in addition to the fee unless the Professional Rider is an Apprentice or Conditional Jockey (in which case the fee paid shall be inclusive of VAT where applicable).

10.3 No fee is payable where the meeting or race is abandoned.

10.4 No additional payments or deductions are applicable to either fee.

### **Index of defined expressions**

1. This index provides a guide to words or expressions which are defined generally and so liable to be met in provisions which do not themselves contain the definition.
2. Where a term is used only in one Rule (or in a series of closely connected Rules), the definition will be set out in that Rule. Always check the Rule itself before looking at this index.
3. Where a term is used in more than one place, it will start with a capital letter. The second column of this index tells you where you can find the substantive definition.
4. This index is not part of these Rules.

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