



# Guide to Procedures and Penalties 2015

An Explanatory Guide  
to Assist Effective  
Enforcement of the Rules

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EFFECTIVE FROM 28 MARCH 2015



# 1.

## INTRODUCTION

This booklet contains information on the main Rules and the various procedures and charts which will be referred to at all times when deciding on the appropriate course of action either on the racecourse or at a Disciplinary Panel enquiry.

The booklet should not be seen as either a replacement for, or an interpretation of, the Rules of Racing. It does, however, seek to clarify and provide easy reference to a number of crucial areas which may arise during the course of a day's racing.

The guidelines as to penalties are not intended to override the discretion of the Stewards under the Rules. However, in the interest of consistency and fairness, Stewards are expected to operate within the guidelines unless they have good reason to consider that the case before them has some special characteristic(s) which justifies a greater or lesser penalty outside the guidelines; Stewards should be prepared to explain their reasons for so doing.

If you have any questions, or need any further advice, on the information contained in this booklet you should speak to a Stipendiary Steward or a member of the Disciplinary Dept. at High Holborn (0207 152 0123).

Jamie Stier  
Director of Raceday Operations and Regulation



## 2. RUNNING AND RIDING – RULES (B)58, (B)59, (C)45 and (D)45

In order to maintain confidence in the integrity of racing it is particularly important either that questions are asked of the trainer or that an enquiry under Rule (B)58 is held when appearances suggest a horse may not have been run on its merits. **Stewards should not be deterred from holding an enquiry because they consider it unlikely that they will be able to prove a breach of Rule (B)58 or (C)45.** These enquiries are not time sensitive but the Stipendiary Steward should ensure the rider and trainer are warned that they will be required to attend.

### THE RULES

- Rule (B)58 - requires every horse to be run and to be seen to be run on its merits
- Rule (B)59 - details of the three cases whereby a rider can be found guilty under Rule (B)58 of not riding a horse on its merits.
- Rule (C)45 - trainer's responsibilities to ensure that adequate instructions are given so as to ensure a horse is run on its merits.
- Rule (D)45 - rider's responsibilities as to how a horse has to be ridden so as to ensure that it is run on its merits.

### WHEN TO HOLD AN ENQUIRY

Stewards should always initiate an enquiry on the day or ask questions rather than leaving it to the Stewards officiating at a following meeting when the horse runs in deciding whether or not to hold an enquiry.

Stewards should view the video recording of the race and consider the following questions:

- **Was the horse asked for "... timely, real and substantial effort?"**

If the answer to this question is **NO** an enquiry should be held. If **YES**

- **Was it ridden to obtain the best possible placing?**

If **NO** again an enquiry should be held.

### HAVING DECIDED TO HOLD AN ENQUIRY

A series of questions should be asked of the rider and trainer to establish the reasons for the way the horse was ridden.

Under Rule (C)46 the trainer, if he is unable to attend the meeting, must authorise another person to represent him on the racecourse. This person must attend Stewards' enquiries on the trainer's behalf. He must know the riding instructions that the trainer gave to the rider, must be authorised by the trainer and must be able to inform the

Stewards whether the rider has complied with such instructions. Failure by the trainer to do so will result in a breach of Rule (C)46. Furthermore, if the representative has not been made aware of the riding instructions given by the trainer, the Stewards will progress the enquiry as to whether the trainer is in breach of Rule (C)45.4 on the basis of the evidence of the rider as to what instructions were given to him.

## HAS A BREACH OF THE RULES BEEN COMMITTED ?

Prior to determining whether or not the rider and/or trainer are in breach of Rules (B)58 or (C)45 the Stipendiary Steward will sum up and then ask the following questions:

- **Was the horse asked for "... timely, real and substantial effort?"**
- **Was it ridden to obtain the best possible placing?**

If the answer to either of these questions is NO, was the explanation given by either the rider or trainer an acceptable reason for the horse either not being asked for timely, real and substantial effort or not being ridden to obtain the best possible placing?

If the answer to either question remains NO, the rider is in breach of Rule (B)58 and the Stewards must decide under Rule (B)59 which category of offence his breach falls into.

## CATEGORISING THE OFFENCE

In order to assist you in categorising the offence by the rider, the Stipendiary Steward will ask the following questions of the Stewards (the 'Subdivision Charts' on pages 8 to 12 will assist):

- 1) **Did the rider fail to comply with Rule (B)59.3 (negligence)?**  
**IF NOT**
- 2) **Did the rider fail to comply with Rule (B)59.2\* (intent)?**  
**IF NOT**
- 3) **It must be a failure to comply with Rule (B)59.4\* (failure to take all reasonable and permissible measures) by the rider.**

\*The line between Rules (B)59.2 and (B)59.4 can be illustrated for many cases by the example of a rider who appears to be doing the opposite of what you would expect a rider in his circumstances to be doing (Rule (B)59.2) and cases where the rider is simply not doing enough (Rule (B)59.4).

Having decided which category the rider is in breach of, the Stipendiary Steward will advise on penalty for rider and, if appropriate, the trainer. Previous offences are to be taken into account.

## THE TRAINER

With regard to the trainer he will be liable to disciplinary action under Rule (C)45.1 if you are not satisfied that he gave adequate instructions; which is to say such instructions as are necessary to ensure that the horse runs on its merits. The trainer will also be liable to disciplinary action if the rider's breach falls into Rule (B)59.2 and the trainer is unable to satisfy the Stewards that the rider was given adequate instructions and that he failed to comply with them.

## OTHER OPTIONS

The following other options are open to you and must be referred to in your report of the enquiry:

- Noting - all explanations
- Referral for viewing horse's previous runs
  - horse wins a Handicap, Classified Stakes or Rating Related Maiden Race without having been previously placed in the first four
  - a marked improvement in performance
  - concerns are expressed about performance last time out
- Adjourned enquiry - vital witness is not present



# RECOMMENDED PENALTIES FOR BREACHES OF RULES (B)58, (B)59, (C)45 and (D)45 - RUNNING & RIDING

FOR THE PURPOSE OF RULES (B)58, (B)59 and (C)45 THE WORD 'PLACING' MEANS ANY PLACING FROM AND INCLUDING FIRST PLACE TO LAST PLACE

## RULES (B)58 and (C)45 TRAINER'S RESPONSIBILITIES

### SUBDIVISION OF POTENTIAL OFFENCE

(These are the more common examples of breaches but they are by no means exhaustive)

		Recommended Penalties for 1st Offence
	ENTRY POINT	RANGE
a) Trainer fails to give adequate instructions which contributes to the rider failing to comply with Rule (B)59.4. Trainer in breach of Rule (C)45.1	£1,500	£1,000 - £2,500
b) Trainer sends unfit or unschooled horse to the racecourse Rule (C)45.3. Rider unlikely to fall within either Rule (B)59.2 or (B)59.4.	£3,000	£2,000 - £5,000
c) Rider fails to comply with Rule (B)59.2. Trainer in breach of Rule (C)45.4	See Rule (B)59.2	

### Second offence:

Two findings of Rule (C)45.1 (sub: a)) within 12 months - deal with on racecourse but penalty should generally be double that for a 1st Offence  
Two findings of Rule (C)45.1 (sub: a)) between 12 - 24 months - deal with on racecourse but penalty should generally be higher than that for a 1st Offence.

Rule (C)45.3 (sub: b)) - as above

## RULE (B)58 NEGLIGENCE BY RIDER (CATEGORY OF OFFENCE - RULE (B)59.3)

### SUBDIVISION OF RULE

Recommended Penalties	
1st Offence	2nd Offence
28 days (18)* If wilful, refer	refer
10 days (5)*	21 days (14)*
4 days (3)*	10 days (7)*
2 days (1)*	4 days (3)*

2.1 Failing to ride out approaching the finish on a horse that would have been placed:

Place not obtained - first

Place not obtained - second/third

Place not obtained - fourth

Place not obtained - any other placing for which there is prizemoney

\*Figures in brackets should be used for dead heats. With a second offence the fact that the first offence was or was not a dead heat should be ignored.

	ENTRY POINT	RANGE	ENTRY POINT	RANGE
2.2 Mistaking the race distance and either riding a finish a circuit too early or failing to ride a finish	12 days	10 - 14 days	28 days	21 - 42 days
2.3 Taking the wrong course	12 days	10 - 21 days	28 days	21 - 42 days
2.4 Asking for an effort or making some other permissible manoeuvre too late as a result of serious misjudgement or inattention.	10 days	7 - 21 days	21 days	14 - 28 days

## RULE (B)58 INTENT TO CONCEAL (CATEGORY OF OFFENCE - RULE (B)59.2)

### SUBDIVISION OF POTENTIAL OFFENCE

	STEWARDS		DISCIPLINARY PANEL	
	ENTRY POINT	RANGE	ENTRY POINT	RANGE
a) Deliberately not riding a horse to obtain the best possible placing for personal reward or knowing that it had been layed to lose	N/A	N/A	8 years Rider/trainer Disqualify	5 - 25 years
b) Deliberately preventing a horse from winning	} refer	} refer	Horse suspended	Horse suspended
c) Purposely not riding out a horse that would otherwise have won				
d) Horse which has intentionally been restrained and not let down	} refer	} refer	42 days (rider) £7,500 (trainer)*	28 - 90 days £5,000 - £30,000
e) Horse which has intentionally not been asked for sufficient effort				
f) Horse which appears capable of reaching a challenging position but which has intentionally never been asked to do so. <b>*Horse suspended 40 days if both rider &amp; trainer are found in breach</b>				

- g) Using the racecourse as a training ground ie Schooling and/or Conditioning. See racecourse penalties  
 14 days (rider) £3,000 (trainer)\* £2,500 - £4,000 See racecourse penalties
- Horse usually first time out in a Flat, Steeplechase or Hurdle race or returning after a lengthy absence or having a confidence restoring run. Also horse being educated after a problem on previous run.  
**\*Horse suspended 40 days if both rider & trainer are found in breach**
- h) Referrals from racecourse for third offence
- |  |       |                     |
|--|-------|---------------------|
| 60 days (rider)  | refer | 42 - 90 days        |
| £20,000 (trainer)  |       | £15,000 - £30,000   |
| and/or restriction on entries and running horses from yard - 21 days |       | and/or 14 - 42 days |
|  |       | Horse suspended     |

**NOTE:**

**Second Offence:**

Two findings of Rule (B)59.2 (sub: g) within 12 months - deal with on racecourse but penalty should generally be double that for a 1st Offence  
 One finding of Rule (B)59.2 (sub: g) after one of Rule (B)59.4 (sub: b) within 12 months - deal with on racecourse but penalty should generally be double that for a 1st Offence  
 One finding of Rule (B)59.2 (sub: g) after a finding of Rule (B)59.2 (sub: d, e or f) within 12 months - deal with on racecourse but penalty should be at least double that for a first offence  
 One finding of Rule (B)59.2 (sub: g) after a finding of Rule (B)59.2 (sub: d, e or f) between 12 - 24 months - deal with on racecourse but penalty should generally be higher than that for a 1st Offence  
 One finding of Rule (B)59.2 (sub: g) after one of Rule (B)59.4 (sub: b) - between 12 - 24 months - deal with on the racecourse but penalty should generally be higher than that for a 1st Offence

**Third Offence**

Any findings of either Rule (B)59.2 (sub: g) and/or (B)59.4 (sub: b) within 24 months - refer (see sub: h)

12.

**SUBDIVISION OF POTENTIAL OFFENCE**

(These are the more common examples of breaches but they are by no means exhaustive)

a) Rider suffers interference and then fails to ride out to the winning post on a horse that:

- (i) would have been placed first, second, third, fourth or any other placing for which there is prize money See Rule (B)59.3
  - (ii) could have been placed first, second, third, fourth or any other placing for which there is prize money See c) below.
  - (iii) is unplaced See d) below.
- b) Rider fails to take all reasonable and permissible measures throughout the race 10 days 7 - 21 days

**Recommended Penalties for 1st Offence**  
**ENTRY POINT** **RANGE**

**Second Offence:**

Two findings of Rule (B)59.4 (sub: b) within 12 months - deal with on racecourse but penalty should generally be double that for a 1st Offence  
 One finding of Rule (B)59.4 (sub: b) after one of Rule (B)59.2 (sub: any) within 12 months - deal with on racecourse but penalty should generally be double that for a 1st Offence  
 Two findings of Rule (B)59.4 (sub: b) between 12 - 24 months - deal with on racecourse but penalty should generally be higher than that for a 1st Offence

One finding of Rule (B)59.4 (sub: b) after one of Rule (B)59.2 (sub: any) between 12 - 24 months - deal with on racecourse but penalty should generally be higher than that for a 1st Offence

**Third Offence:**

Any three findings of either Rule (B)59.4 (sub: b) and/or Rule (B)59.2 (sub: any) within 24 months - refer

c) Failing to ride out approaching the finish on a horse that could have been placed

First	10 days	<b>1st Offence</b>	<b>2nd Offence</b>
Second/Third	7 days		21 days
Fourth	2 days		14 days
Any other placing for which there is prize money	1 day		5 days

d) Rider demonstrates an acceptable degree of effort during the race until prematurely easing his horse, which would never have finished in the first four or any other placing for which there is prize money but is allowed to coast home with no assistance from the rider  
 1st Offence - Caution  
 2nd - 1 day  
 3rd - 1 day  
 4th - 3 days  
 5th - refer

### 3. INTERFERENCE IN RACES - RULES (B)53 - (B)55

#### INTERFERENCE PROCEDURE TO BE FOLLOWED AFTER HEARING THE EVIDENCE

After the riders have left the room, the Chairman or Stipendiary Steward will ask the following questions of the Panel:

● **Was there interference?**

If the answer is **NO** the enquiry should be closed. If **YES**

● **Who caused it?**

If it cannot be established who caused it, the enquiry should be closed and the appropriate notice issued. If the cause is established:

● **THE STIPENDIARY STEWARD WILL SUM UP.**

It should then be established whether the interference was **serious** by asking the following question:

● **Was the nature of the incident such as to place in serious jeopardy the safety of any horse or rider?**

If **YES**, the Chairman or Stipendiary Steward should start at the top category and work down the left-hand side (the 'definitions') bearing in mind that a decision should be reached on the balance of probabilities and if the Panel is having difficulty reaching agreement he will move on to the next category. The Panel should only refer to the right-hand side (the 'examples') after agreement has been reached on the category of interference.

If **NO**, the Panel should consider the placings by proceeding to the section headed 'Determining the Result Following Interference' on pages 16 and 17 before returning to Careless Riding.

CATEGORY AND DEFINITION	EXAMPLES (These are the more common examples of interference but they are by no means exhaustive)
<p><b>1. FOR DANGEROUS RIDING THE RIDER MUST CAUSE SERIOUS INTERFERENCE. SERIOUS INTERFERENCE IS WHEN INTERFERENCE CAUSES A HORSE AND/OR RIDER TO FALL OR VERY NEARLY FALL OR THE HORSE IS SEVERELY HAMPERED EG. UP AGAINST THE RUNNING RAIL, OR IS PUSHED OR NEARLY PUSHED OFF THE COURSE.</b></p>	
<p><b>WAS IT DANGEROUS RIDING?</b></p> <p><b>A rider is guilty of Dangerous Riding if he causes serious interference by:</b></p> <p><b>a) purposely interfering with another horse or rider</b> <b>or</b></p> <p><b>b) riding in a way that is far below that of a competent and careful rider and where it would be obvious to such a competent and careful rider that riding in that way was likely to endanger the safety of a horse or rider.</b></p>	<p><b>RIDER CAUSES SERIOUS INTERFERENCE BY:</b></p> <p>a) Riding across to prevent a horse from going 'up the inner'.</p> <p>b) Attempting to force a horse off the track eg. at the wing of a fence.</p> <p>c) Deliberately barging his way between two horses.</p> <p>d) Persistently attempting to get past any horse when there is insufficient room.</p> <p>e) Failing for a sustained period of time to take corrective action.</p> <p>f) Intentionally striking another horse or rider.</p> <p>g) Manoeuvring/changing direction, suddenly or gradually (particularly on to the rail)</p>
<p><i>If the rider is guilty of Dangerous Riding the horse must be disqualified.</i></p>	
<p style="text-align: center;"><b>Advice to Stewards</b></p> <p>There are two parts to Dangerous Riding. Firstly, there has to be serious interference but this is not enough on its own to warrant a breach of Dangerous Riding - serious interference can be caused by Careless Riding or can even be Accidental. The second part relates to the culpability of the rider in terms of his riding - see 1a) and b) and the examples a) to g) in the righthand column.</p>	
<p><b>IF YOU ARE SATISFIED THAT THE INTERFERENCE IS NOT DANGEROUS YOU SHOULD PROCEED TO THE SECTION HEADED 'DETERMINING THE RESULT FOLLOWING INTERFERENCE' ON PAGES 16 AND 17 TO DETERMINE WHETHER THE PLACINGS NEED TO BE ALTERED. HAVING COME TO A DECISION ON PLACINGS, WHICH SHOULD BE IMMEDIATELY ANNOUNCED, YOU SHOULD REVERT BACK TO DECIDE ON THE CATEGORY OF INTERFERENCE.</b></p>	
<p><b>2. FOR CARELESS RIDING THE RIDER USUALLY CAUSES INTERFERENCE OF A LESS SERIOUS NATURE BY FAILING TO TAKE CORRECTIVE ACTION OR BY MISJUDGEMENT, INCLUDING A MANOEUVRE.</b></p>	
<p><b>WAS IT CARELESS RIDING?</b></p> <p><b>A rider is guilty of Careless Riding if he fails to take reasonable steps to avoid causing interference or causes interference by inattention or misjudgement, including when manoeuvring for position.</b></p>	<p>a) Horse drifts into another without rider straightening it up, either by switching his whip, or, if that is insufficient, by using his reins.</p> <p>b) Horse hangs into the whip but the rider does not take sufficient action to straighten it up.</p> <p>c) Horse hangs in on bend without rider taking any action.</p> <p>d) Rider manoeuvres/changes direction, causing another rider to be moved off his intended line or to take evasive action.</p> <p>e) Rider pushes through, thereby creating a gap or widening an existing gap which never looked like being big enough</p> <p>f) Rider moves across to the rails at the start causing interference.</p> <p>g) Rider unintentionally strikes another horse or rider but should have moderated his use of the whip because of the close proximity of another horse or rider.*</p> <p>* see page 29 - striking horses or riders with whip.</p>
<p style="text-align: center;"><b>Advice to Stewards</b></p> <p>Demotion only occurs if the horse causing the interference has improved its placing as a result of that interference</p>	

**3. FOR IMPROPER RIDING THE RIDER INTENTIONALLY INTERFERES WITH OR STRIKES ANOTHER HORSE OR RIDER WITHOUT CAUSING SERIOUS INTERFERENCE. THE INTERFERENCE IS NOT INTENDED TO IMPROVE THE INTERFERER'S PERFORMANCE BUT RATHER TO AFFECT THE PERFORMANCE OF THE SUFFERER.**

<p><b>WAS IT IMPROPER RIDING?</b></p> <p>A rider is guilty of Improper Riding if he intentionally strikes other riders or horses and may also include other forms of misconduct in the course of riding such as riding that would be dangerous but for the fact that it did not cause serious interference.</p>	<ul style="list-style-type: none"> <li>a) Rider intentionally interferes with another horse or rider but not with the intention of improving his own position.</li> <li>b) Rider intentionally rides across to cause interference,</li> <li>c) Rider intentionally strikes another horse or rider.*</li> <li>d) Rider intentionally attempts to interfere with or strike another horse or rider with his whip.*</li> <li>e) Rider rides dangerously but does not cause serious interference eg. rider moves a considerable distance across the course at the start.</li> </ul> <p>* see page 29 - striking horses or riders with whip.</p>
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**Advice to Stewards**

This category is to be used where you are satisfied that the interference was caused by some culpable misconduct by the rider which was neither Dangerous nor Careless Riding and may include intentional interference and striking other riders or horses when riding that would be dangerous but for the fact that it did not cause serious interference. Demotion only occurs if the horse causing the interference has improved its placings as a result of that interference.

**4. FOR ACCIDENTAL THE RIDER WILL HAVE BEEN TAKING REASONABLE STEPS TO PREVENT THE INTERFERENCE FROM OCCURRING OR THE INTERFERENCE WILL HAVE BEEN DUE TO CIRCUMSTANCES BEYOND THE RIDER'S CONTROL.**

<p><b>WAS IT ACCIDENTAL?</b></p>	<ul style="list-style-type: none"> <li>a) Horse hangs without warning.</li> <li>b) Horse continues to hang despite rider's best efforts to prevent it.</li> <li>c) Horse runs down an obstacle without warning</li> </ul>
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The interference can probably be regarded as accidental but the following must still be asked:-

**Was the rider taking reasonable steps to prevent the interference from occurring?**

**Was the interference due to circumstances beyond the rider's control?**

If the answer to both questions is **NO**, probably a riding offence has been committed and therefore go back to question 2. If the answer to either question is **YES**, the interference must be regarded as accidental.

**Advice to Stewards**

Demotion only occurs if the horse causing the interference has improved its placing as a result of that interference.

**NOTE: It should be remembered that being taken off one's intended line (intimidation) constitutes interference. It follows that there does not have to be physical contact for interference to occur.**

**To conclude the enquiry the Chairman must complete the Aide Memoire and read it out to the riders.**



## DETERMINING THE RESULT FOLLOWING INTERFERENCE

One of the most difficult and contentious decisions a Panel has to make is to determine the result following interference. If the Panel considers that interference might have affected the result ie. the interferer might have improved his placing as a result of the interference, an enquiry must be called under Rule (B)11.6 which has the effect of freezing the 'payout' until the Panel has come to its conclusion.

### **THE STEWARDS HAVE TO DECIDE WHETHER THE SUFFERER WOULD HAVE BEATEN THE INTERFERER BUT FOR THE INTERFERENCE.**

There are a series of factors to take into account. The questions (below) and Guiding Principles (opposite) provide a framework within which the Panel work in order to come to their decision. They do not provide the answer but try to ensure that the Panel addresses the correct questions when making a decision.

The Panel should ask themselves the following questions, being mindful of the relevant Guiding Principles:

- 1. Where did the incident take place in relation to the winning post?**
- 2. How were the horses involved in the interference going at the time of the incident?**
- 3. How serious was the interference ie. how much momentum did the sufferer lose and/or how much ground was lost?**
- 4. If the sufferer had had an uninterrupted run to the line, might it have finished in front of the interferer?**  
If NO - order placings to remain unaltered  
If YES ie there is some doubt - proceed to question 5.
- 5. How easily did the interferer beat the sufferer?**

Having considered those factors relevant to the incident in question, if the Panel is satisfied that on the balance of probabilities the interference did improve the placing of the interferer in relation to the sufferer(s), the placings must be altered. Otherwise, the placings must remain unaltered. **Generally speaking, the longer the Panel discusses whether the placings should be altered, the less likely it is that they should be. If the Panel is unable to conclude one way or the other, the result should stand.**

After reaching a decision on placings, which should be announced immediately, turn back to Careless Riding in order to continue your deliberations on the category of Interference.

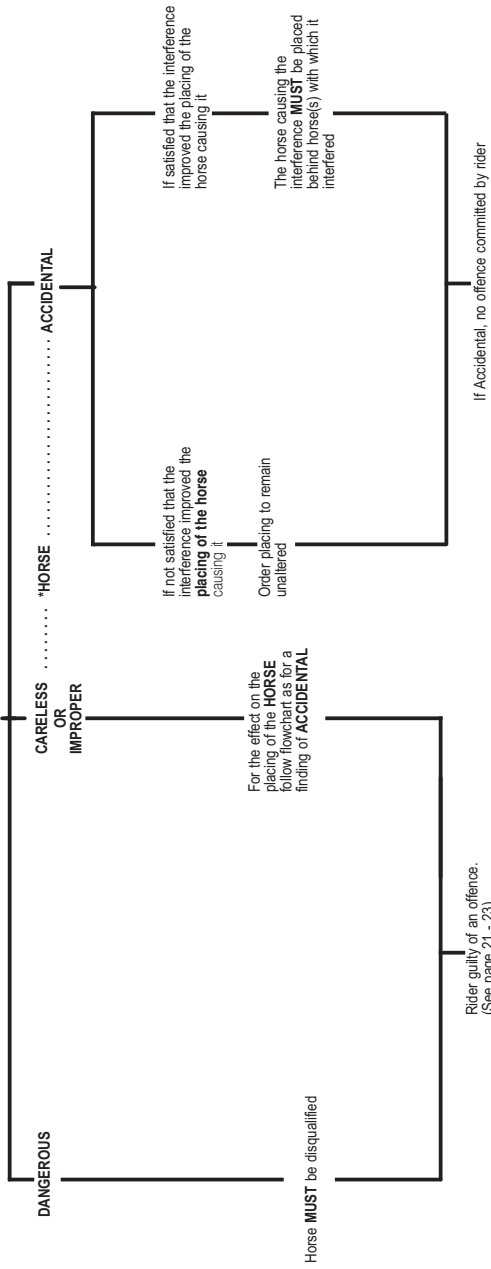
**Remember:** in amending the placings you are demoting the interferer not promoting the sufferer.

## GUIDING PRINCIPLES

- a) Dangerous Riding - the placing(s) must be altered as the interferer must be disqualified.
- b) Careless, Improper or Accidental - if the Panel is satisfied that the interference improved the placing of the horse causing it, the placings must be altered.
- c) The benefit of doubt should go to the horse which finished in front.
- d) The Panel should have in mind that interference is likely to have impeded the sufferer to some degree and therefore a reversal of placings is more likely to follow where there is only a nose between the horses.
- e) The further away from the winning post that the incident occurs, the less likely it is that the result should be changed.
- f) The Panel must make allowance for the momentum and ground lost by the sufferer by imagining that it had an uninterrupted run to the line.
- g) The Panel must **NOT** make an allowance for any effect on the horse causing the interference.
- h) The Panel must take into account the ease with which the interferer beat the sufferer.
- i) If a horse is carried off its intended line, the effect will vary depending on the distance from the winning post.

# INTERFERENCE OPTIONS

## INTERFERENCE



\*Where in cases of Careless or Improper Riding or Accidental Interference more than one horse is interfered with either in turn as a result of the same occurrence or simultaneously, each is a separate incident by the horse causing the original interference for which separate placing assessments are to be made.

As soon as any decision on placings is reached it is to be announced prior to giving any thought to penalty.

## GUIDE TO PENALTIES FOR RIDING OFFENCES

The final matter which needs to be considered is the question of appropriate penalty. The following penalty ranges are those recommended by the BHA. In the interest of consistency, and using the respective guidance notes, the Stipendiary Stewards will give further advice on the appropriate penalty within the range given for each offence. The level of penalty should be entirely dependent on the actual offence and previous offences must not be taken into account.

Offence	Recommended Penalty
<b>Dangerous Riding</b>	10 - 28 days and rider loses entitlement to riding fee or refer
<b>Careless Riding</b>	caution or 1 - 9 days
<b>Improper Riding</b>	caution or 1 - 21 days
<b>Mis-use of the Whip</b> (Classified as Improper Riding - an offence under Schedule (B)6 Part 2)	2 - 20 days or refer 7 days or more - an additional fine of between £200 - £10,000 (Rule (B)54.8)

## EFFECTIVE DAYS FOR RIDING SUSPENSIONS

To establish the days when the suspension applies reference should be made to Schedule (B)1 of the Rules of Racing.

## NOTES ON PENALTIES FOR INTERFERENCE OFFENCES

- 1) If in the opinion of the Stewards an Interference offence warrants a suspension of more than 28 days the matter should always be referred to the Disciplinary Panel.
  - 2) The level of penalty for Interference breaches should be dependent on the actual offence and previous offences should not be taken into account.
  - 3) Subject to Paragraph 7, a rolling 6 month period will apply for totting up Interference suspensions, the relevant dates being the dates on which a finding of a breach was first made.
  - 4) A rider should be referred to the Disciplinary Panel on the second occasion during the previous 12 months that he is found guilty of Dangerous Riding.
  - 5) If a rider is found to have committed a riding offence involving Interference and it warrants a suspension and he has already been suspended from riding for a total of 20 days or more for Interference within the previous 6 months he should be referred to the Disciplinary Panel.\*
  - 6) After a rider has appeared before the Disciplinary Panel following a referral under Paragraphs 4 or 5 above and has been suspended, all offences prior to and including the offence for which the rider was referred are not to be taken into consideration for totting up purposes.
  - 7) Suspensions imposed by the Disciplinary Panel as a result of an appeal, referral or a case instigated by the BHA are to be included in the number of days suspended during the previous 6 months. However, if the rider has already been suspended for 20 days or more the Disciplinary Panel will take this into account when imposing a penalty after which that suspension and all previous suspensions will not be taken into consideration for totting up purposes.
- \* The Disciplinary Panel will usually impose a suspension of between 10 and 28 days with an entry point of 14 days for the accumulation of days suspended plus a period of suspension for the offence. Part of the suspension may be deferred for a period not exceeding 6 months but it will take effect in the event of the rider being further suspended during the said period. The said period will not commence until after the suspension from the 'totting up' enquiry has been served. The entry point for a deferred suspension is 3 months and it is recommended that the entry point should be decreased for the 'high season' (May to August inclusive) and increased for the 'low season'. The number of days that should be deferred are as follows:
- |                         |                        |  |                        |
|-------------------------|------------------------|--|------------------------|
| 10 - 15 days suspension | $\frac{1}{5}$ deferred | 26+ days suspension                      | $\frac{1}{3}$ deferred |
| 16 - 25 days suspension | $\frac{1}{4}$ deferred | (fractions of days will be rounded down) |                        |

When a deferred suspension is activated it shall commence immediately after the conclusion of the suspension on days applicable to the rider. Suspensions that include deferred suspension days will not be subject to the Group 1/Grade 1 exception. (Schedule (B)1 Paragraphs 8 and 11).

The deferred part of the suspension will not count towards the total number of days suspended during the current rolling 6 month period.

## INTERFERENCE - PENALTY GUIDELINES

To assist in maintaining a consistent approach to penalty the following guidelines are given for each of the three categories of Interference:

### DANGEROUS RIDING

**Penalties should always reflect both the cause of the interference ie. the standard of riding, and its effect. Penalties should rise as the seriousness of the interference increases.**

Rider causes serious interference	10 - 21 days
Rider causes serious interference which results in a rider being unseated and/or a horse falling.	14 - 21 days
Rider intentionally strikes another horse and/or rider resulting in serious interference Rider intentionally interferes with another horse and/or rider resulting in serious interference Rider attempts to push another rider through or around the wing of an obstacle, through or outside the running rail, or off the course, resulting in serious interference	21 - 28 days or refer
Rider intentionally pushes another rider through or around the wing of an obstacle, through or outside the running rail, or off the course ie. serious interference.	28 days or refer

#### Notes:

- 1) In judging the effect, the Panel should take into consideration the overall effect on the sufferer which includes:
  - **the degree of danger** eg. squeezed up against the rails
  - **the loss of opportunity to challenge for prize money** eg. chance of challenging effectively destroyed
  - **the loss of prize money** eg. sufferer comes third but would have been second but for the interference

It is important that all these aspects of the effect on the sufferer(s) are taken into account when deciding on penalty - one or other of the above 'effects' should increase the penalty by one or even two days.
- 2) Penalty should rise when horse hangs or drifts for a long period when it ought to have been obvious that, uncorrected, serious interference would result.
- 3) Indirect ('knock on') interference should be taken into account when assessing the level of penalty unless you are certain that the indirect interference was not reasonably foreseeable.
- 4) Actual injuries sustained by a fallen horse or rider should not be taken into account, the fall is enough.
- 5) It is impossible to cover every eventuality and therefore the level of penalty may be varied to suit the circumstances.

## PENALTY GUIDELINES (continued)

### CARELESS RIDING

Penalties should always reflect both the cause of the interference ie. the standard of riding, and its effect. Penalties should rise as the seriousness of the interference increases.

Minimal interference. Sufferer having to take a slight check or horse being shifted slightly off its line.	caution or 1 day
Increased interference, either due to a manoeuvre or failing to take corrective action. Rider unintentionally strikes another horse or rider when it ought to have been obvious to him that he would do so.	2 - 4 days
Rider makes a manoeuvre or allows horse to hang or drift which results in considerable interference. Rider causes considerable interference after horse hangs or drifts for a long period when it ought to have been obvious that, uncorrected, interference would result. Rider causes considerable interference by allowing horse to interfere with another horse(s) over a considerable length of time, especially when preventing sufferer from riding a finish.	5 - 9 days

#### Notes:

- 1) In judging the effect, the Panel should take into consideration the overall effect on the sufferer which includes:
  - **the degree of danger** eg. squeezed up against the rails
  - **the loss of opportunity to challenge for prize money** eg. chance of challenging effectively destroyed
  - **the loss of prize money** eg. sufferer comes third but would have been second but for the interference

It is important that all these aspects of the effect on the sufferer(s) are taken into account when deciding on penalty - one or other of the above 'effects' should increase the penalty by one or even two days.

- 2) When the interference is minimal but is caused by a manoeuvre, the appropriate penalty is more likely to be one day rather than a Caution.
- 3) Penalty should rise when horse hangs or drifts for a long period when it ought to have been obvious that, uncorrected, interference would result.
- 4) Indirect ('knock on') interference should be taken into account when assessing the level of penalty unless you are certain that the indirect interference was not reasonably foreseeable.
- 5) Actual injuries sustained by a fallen horse or rider should not be taken into account, the fall is enough.
- 6) It is impossible to cover every eventuality and therefore the level of penalty may be varied to suit the circumstances.

## PENALTY GUIDELINES (continued)

### IMPROPER RIDING

Penalties should always reflect both the cause of the interference ie. the standard of riding, and its effect. Penalties should rise as the seriousness of the interference increases.

Rider intentionally interferes with another horse or rider causing minimal interference/impact. Rider intentionally attempts to interfere with another horse or rider but fails to achieve it or pulls away at the last minute.	3 - 5 days
Rider intentionally attempts to strike another horse or rider. Rider intentionally strikes another horse or rider causing minimal interference/impact	3 days 5 days
Rider intentionally interferes with/strikes another horse or rider causing increased interference/impact.	6 - 9 days
Rider intentionally interferes with/strikes another horse or rider causing considerable interference/impact.	10 - 21 days

#### Notes:

- In judging the effect, the Panel should take into consideration the overall effect on the sufferer which includes:
  - **the degree of danger** eg. squeezed up against the rails
  - **the loss of opportunity to challenge for prize money** eg. chance of challenging effectively destroyed
  - **the loss of prize money** eg. sufferer comes third but would have been second but for the interference

It is important that all these aspects of the effect on the sufferer(s) are taken into account when deciding on penalty - one or other of the above 'effects' should increase the penalty by one or even two days.
- Indirect ('knock on') interference should be taken into account when assessing the level of penalty unless you are certain that the indirect interference was not reasonably foreseeable.
- Actual injuries sustained by a fallen horse or rider should not be taken into account, the fall is enough.
- It is impossible to cover every eventuality and therefore the level of penalty may be varied to suit the circumstances



## 4. IMPROPER RIDING - RULE (B)54.2 AND SCHEDULE (B)6 PART 2

Another area which may give rise to a riding offence is that concerning Improper Riding. Whether the rider is mounted or dismounted this covers cases of Mis-use of the Whip (Schedule (B)6 Part 2) or striking other riders or horses (Rule (B)54.2), but may also be used to describe other forms of misconduct which do not give rise to interference (Rule (B)54.2).

The BHA remains totally committed to preventing any abuse of horses through improper or unacceptable use of the whip. Stewards may hold an enquiry into any case where, taking into consideration the guidelines on pages 28 and 29, the rider appears to have mis-used his whip or the rider has used his whip in any way as to cause them concern. Veterinary Officers will inspect horses after a race and if a horse is wealed it will be reported to the Stewards.

### GUIDANCE ON USE OF THE WHIP

In assessing a rider's use of the whip the Stewards should always remember that the whip should be used for safety and encouragement. Whilst there is a requirement for all riders to carry a whip, there is no obligation on riders using their whip.

- Any use of the whip by a rider must be appropriate, proportionate, professional, and take account of the Rules and these Guidelines
- The whip may be used to encourage a horse - to have the horse focused and concentrated - to perform at its best
- The stimulus provided by the use of the whip must be limited so as not to compromise the welfare of the horse
- All riders must use a specifically designed and approved energy absorbing whip

Riders should consider the following factors so as to minimise any possibility of being found in breach of the Rules:

- a) Urging the horse to lengthen its stride and increase its pace by first using hands and heels before picking up the whip;
- b) Giving consideration to how much of the race is still left to run before starting to use the whip;
- c) Showing the horse the whip and giving it time to respond before using it;
- d) Using the whip in the backhand position;
- e) Having used the whip, giving the horse a chance to respond before using it again;
- f) Keeping both hands on the reins when using the whip down the shoulder in the backhand position;
- g) Using the whip in rhythm with the horse's stride and close to its side;
- h) Swinging the whip to keep the horse straight.

## WHEN TO HOLD AN ENQUIRY - SCHEDULE (B)6 Part 2

The Stewards should consider whether to hold an enquiry if a rider has:

1. Used his whip 8 times or more in a Flat race or 9 times or more in a Jump race.
2. Mis-used his whip taking into consideration the guidelines on pages 28 and 29.

When deciding whether or not to hold an enquiry Stewards should consider how the rider has used the whip during the course of the entire race, with particular attention to its use in the closing stages, and relevant factors such as:

- a) The manner in which the whip was used, including the degree of force;
- b) The purpose for which the whip was used;
- c) The distance over which the whip was used and whether the number of times it was used was reasonable and necessary;
- d) Whether the horse was continuing to respond.

Provided that the manner in which the whip had been used was measured, Stewards may choose to disregard occasions when the whip has been used:

### All Races

- a) To keep a horse in contention or to maintain a challenging position prior to what would be considered the closing stages of a race;
- b) To maintain a horse's focus and concentration;
- c) To correct a horse that is noticeably hanging;
- d) Where there is only light contact with the horse;

### Jump Races

- e) Following a mistake at an obstacle;
- f) To correct a horse that is running down an obstacle.

Factors that the Stewards may be less tolerant about should a rider use the whip 8 times or more in a Flat race or 9 times or more in a Jump race:

- a) When the horse is young or inexperienced;
- b) When a rider continues to use the whip when not being directly challenged for a finishing position;
- c) When a rider fails to recognise that his use of the whip is not having the intended effect.

If the Stewards are still concerned, having disregarded some occasions when the whip has been used, an enquiry should be held.

Unless, having heard from the rider, the Stewards decide to accept his explanation for the use of the whip or discount any further occasions when the whip has been used, the Stewards should find the rider in breach and refer to pages 28 and 29 for guidance on the appropriate penalty.

## NOTES ON PENALTIES - SCHEDULE (B)6 PART 2

1. Having found the rider in breach, the Stewards must decide on the level of penalty for the offence.
2. Previous offences are not to be taken into account by the Stewards when deciding on the level of penalty.
3. Offences which incur a suspension of 2 - 6 days are to be **treated separately** from those offences that incur a suspension of 7 days or more.
4. Having decided on a penalty, the Stewards should then establish if the rider has committed previous breaches and if it is the rider's:
  - Fifth suspension of 2 - 6 days within the previous 6 months - refer
  - Fourth suspension of 7 days or more within the previous 6 months - refer
5. When checking previous whip offences for referral purposes, the relevant date is the date on which a finding of a breach was first made.
6. After a rider has appeared before the Disciplinary Panel following a referral under paragraph 4 and has been suspended, all offences in the band prior to and including the offence for which the rider was referred should not be taken into account when calculating the number of subsequent offences.
7. If in the opinion of the Stewards a whip offence warrants a suspension of more than 20 days the matter should be referred to the Disciplinary Panel.
8. Group 1 and Grade 1 exemptions will apply to those suspensions of 4 days or less. Group 1 and Grade 1 exemptions will not apply to suspensions imposed by the Disciplinary Panel following a referral.
9. If a professional rider is suspended for 7 days or more he may also be fined a sum between £200 and £10,000 (£100 and £5,000 in the case of an apprentice or conditional) depending upon the type and value of the race, the rider's finishing position and the length of the suspension imposed (Rule (B)54.8).
10. Using the same criteria in paragraph 9, amateur riders may also be fined a sum of either £200 or £400 (Rule (B)54.13).
11. The Disciplinary Panel will usually impose a suspension of:
  - Fifth suspension of 2 - 6 days within previous 6 months**  
14 - 42 days suspension with an entry point of 21 days.  
May be required to attend a course in remedial training.
  - Fourth suspension of 7 days or more within previous 6 months**  
2 months - 6 months suspension with an entry point of 3 months.  
May be required to attend a course in remedial training.  
May be fined as set out in paragraphs 9 & 10 above.

12. Part of the suspension may be deferred for a period of between 42 days and 4 months, but it will take effect in the event of the rider being further suspended for a breach of Schedule (B)6 Part 2 during the said period. The said period will not commence until after the suspension for the offences has been served.

The entry point for a deferred suspension is 2 months for a fifth suspension of 2 - 6 days and 3 months for a fourth suspension of 7 days or more.

The number of days of the suspension that should be deferred is  $\frac{1}{3}$  (Fractions of days will be rounded down).

When a deferred suspension is activated it will commence immediately after the conclusion of the suspension on days applicable to the rider. Suspensions that include deferred suspension days will not be subject to Group 1/Grade 1 exceptions.

## PENALTY GUIDELINES - SCHEDULE (B)6 PART 2

These are Guidelines and do not provide an exhaustive list of offences, or circumstances, whereby a rider's use of the whip may be considered Improper.

Schedule (B)6 Part 2 - USE OF THE WHIP (Examples of Mis-use)	Use of the Whip which could amount to a <b>BREACH</b>	Minimum penalty - days
Arm above shoulder height	2	2
Without regard to stride (rat - tat - tat)	3	2
Excessive force	1	2
Without time to respond (allow 3 strides per stroke) *including first hit	3*	2
Showing no response	3	5
Out of contention	3	5
Clearly winning (or other placing)	2	2
Past the post	2	2
Incorrect place	1	2
Down shoulder in forehand	2	2

<b>Frequency</b> - uses above the permitted level for frequency: 7 times in a Flat race or 8 times in a Jump race.		
<b>Flat</b>	1	2
	2	4
	3	7
<b>Jump</b>	1	2
	2	4
	3	7

If the finding is a breach of one example, the Stewards should refer to the respective example and its corresponding penalty (as above) and then add a further 2 days for each use thereafter.

If the finding is a breach of more than one example, the Stewards should impose a single suspension to take account of all of the individual breaches. In calculating such a suspension the Stewards should always start by looking at 'frequency' and then add on further days to reflect any other breaches - normally, following a finding of 'frequency', where the number of occasions the whip has been used has already been taken into account, it is not necessary to increase any other penalty similarly eg. 8 times in a flat race (2 days: frequency) of which 4 were without time to respond (2 days: no time to respond) totals a 4-day suspension; 11 times in a jump race (7 days: frequency) of which 3 were in the incorrect place (2 days: incorrect place) totals a 9-day suspension.

If a rider is in breach of Rule (B)54 for improper riding in respect of use of the whip and furthermore has wealed his horse, this should be treated as an aggravating feature, and an additional minimum penalty should be added, as set out below:

Minor Weal	5 days
Moderate Weal	8 days

If the horse is injured the case should be referred.

In considering whether a horse has been wealed, and whether that weal is minor, moderate or an injury, the Stewards should have regard to the opinion of the Veterinary Officer.

## PENALTY GUIDELINES - RULE (B)54.2

Rule (B)54.2 - Examples of Improper Riding which are <u>not</u> breaches of Schedule (B)6 Part 2. (This list is not exhaustive)	Minimum penalty - DAYS
Jabbing the horse in the mouth, kicking or striking the horse in any way when not mounted, or any behaviour towards the horse whether mounted or not which the Stewards consider to be unacceptable.	1 - 5 days
Intentionally striking or attempting to strike other horses or riders (see pages 23 and below).	*See Improper Riding guidelines - page 23

### STRIKING OR ATTEMPTING TO STRIKE OTHER HORSES OR RIDERS WITH A WHIP

- 1) Rider intentionally strikes another horse or rider with his whip causing serious interference - DANGEROUS RIDING
- 2) Rider intentionally strikes/attempts to strike another horse or rider with his whip causing interference - IMPROPER RIDING
- 3) Rider intentionally strikes/attempts to strike another horse or rider with his whip but does not cause interference - IMPROPER RIDING
- 4) Rider unintentionally strikes another horse or rider causing some interference but should have moderated his use of the whip because of the close proximity of another horse or rider - CARELESS RIDING
- 5) Rider accidentally strikes another horse or rider with his whip causing interference - ACCIDENTAL INTERFERENCE

**NOTE:**        **If a rider hits another horse only once in a finish and the Panel consider that the rider is unlikely to have known that the horse was within striking range, more often than not it is likely to be categorised as Accidental Interference.**

## 5. OFFENCES CONSIDERED BY RACECOURSE STEWARDS

- 1) A Panel has the power at their discretion to impose any one or more of the following penalties:
  - i) Fine - not exceeding £15,000.
  - ii) Suspend a rider from riding for any period up to and including 42 days.
  - iii) Suspend a horse from running for a period of 40 days if a finding of a breach of Rule (B)59.2 and Rule (C)45.4.3 is made
  - iv) Refer any possible breach to the BHA.
- 2) A list of common offences and the penalties recommended by the BHA are set out below. Penalties are shown in 'Bands' indicating different levels of appropriate penalty.

	1st Offence	2nd Offence	3rd Offence	4th Offence
BAND A	£80	£160	£320	refer
BAND B	£140	£280	£560	refer
BAND C	£290	£580	£1,160	refer
BAND D	£650	£1,300	refer	
BAND E	£80 - £10,000 or refer			

Band E penalties are shown as either a single fixed sum or as an 'Entry Point' within a 'Range'. A Panel should start their penalty deliberations at the 'Entry Point' and, dependent on the circumstances, reduce the sanction to take account of mitigating factors or increase the sanction to take account of aggravating factors. For second offences in Band E the penalty or 'Entry Point' should normally be doubled.

- 3) When determining whether an offence is a second or further offence a rolling 12 month period will apply, the relevant date being the date on which a finding of a breach was first made. The exceptions being Rules (A)32, (B)59.2, (B)59.4 (Sub: b)) and (C)45, where a rolling 24 months will apply.  
When a second offence of the same description is committed within 12 months and no recommendation is made, the fine/suspension for the second offence should be at least double that of a first offence.
- 4) All previous offences within the previous 12 months, other than those involving Interference or Mis-use of the Whip, should be taken into account, notwithstanding that an offender may have been referred for a previous offence.
- 5) Amateur Riders and Apprentice/Conditional jockeys should be treated as full jockeys.

## RECOMMENDED PENALTIES FOR OFFENCES CONSIDERED BY RACECOURSE STEWARDS

Manual	Other Manuals Offence related to	Band or Entry Point	Range
(A)27.2	Possession on racecourse premises of a potentially allowable substance where dispensation would normally be given if requested	C	
<b>Note 1:</b>	If electrolytes are found in an oral applicator or if a Catheter Mount syringe is found together with such substances as glycerine or electrolytes and the Stewards are satisfied that the syringe was for the use of administering said substance (Band C)		
(A)27.2	Possession of unallowable substance ie. a substance for which dispensation would <b>not</b> be granted	£1,000	£750 - £1,500
<b>Note 2:</b>	Fine level to reflect substance found and intention: Substance with no therapeutic application eg. snake venom (refer) Medications eg. Bute (£1,000) Adjuncts eg. Vitamin B12 (£750)		
(A)27.2	Possession of any means of administering a substance where dispensation has not been granted	£750	£500 - £1,000
<b>Note 3:</b>	Catheter Mount syringe/oral applicator without accompanying glycerine or electrolytes (£500) Luer lock syringe without substances (£750)		
Fines for breaches of (A)27.2 should be imposed first and foremost for the substance which is found and then reflect whether it was a failure to request dispensation. Fines should not be increased just because the substance is also in a syringe or a syringe is present in order to administer the substance.			
(A)31.2	Misleading the Stewards	£1,500	£500 - £5,000 or refer
(A)31.2	Giving deliberately misleading evidence at an enquiry*		

\*Stewards should not hold enquiries concerning evidence given to them at an enquiry. If they suspect there has been an attempt deliberately to mislead them, they should formally express their concerns at the conclusion of the enquiry or refer the matter



Manual	Other Manuals Offence related to	Band or Entry Point	Range
(A)32.1	(a) Violent or Improper conduct towards Stewards or Officials		
	i) Abusive behaviour (verbal only)	4 days (rider) £1,000 (trainer)	1 - 21 days £100 - £5,000
	ii) Threatening behaviour (verbal, physical gestures)	21 days (rider) £5,000 (trainer)	14 - 42 days £2,500 - £10,000
	iii) Violent conduct (physical contact)	refer	
	(b) Violent or Improper conduct between riders/trainers	4 days (rider) £500 (trainer)	1 - 21 days £100 - £5,000
(A)32.1	Misuse of badges		
	a) Rider/trainer who allows an unauthorised person to use his badge on a racecourse	C	
	b) Person who uses a rider's/trainer's badge on the racecourse to which he is not entitled*	C	
* Can only be fined on racecourse if agrees to be bound by Rules. If he does not he must be referred because only the Disciplinary Panel are empowered to deal with such persons. Furthermore, the only penalty that can be imposed is exclusion from all racecourses under Rule (A)64			
(A)32.1	Ignoring veterinary surgeon's instructions and riding a lame horse back from the start	21 days	14 - 28 days
(A)39	Sponsorship on silk cap	B	
(B)23.5	Failure to declare correct information on declaration sheet	A	

Manual	Other Manuals Offence related to	Band or Entry Point	Range
(B)25.6	Declared rider not present on instructions of trainer/owner	C	
(B)25.8	Failure to notify late change of rider	A	
(B)27.3	Saddling - not in appointed place	B	
(B)27.5	Horse late in parade ring		
	a) Group/Grade 1	£1,000	£500 - £5,000
	b) All other Races	B	
(B)28	Failure to comply with parade ring protocol	A	
(B)28.1	Late arrival of rider in parade ring	B	
(B)29.1	Failure to ride past the stands	B	
(B)29.3	Taking incorrect route to start	B	
(B)30	Parades		
	Group/Grade 1	£1,000	£750 - £1,500
	Other races	£500	£300 - £1,000
(B)33.6	Jumping a preliminary jump	B	
(B)34.3	(B)42.4 Using a whip at the start	B	
(B)36.1	Rider late to the start		
	1st - 4th Offence (same penalty)	1 day	
	5th Offence	refer	
(B)39.5	(B)39.6 Failure to obey recall flag	10 days	
(B)41.1	Schedule (B)5 Unruly behaviour of horse		
	1st Occasion before Stewards	Warning (FSB)	
	2nd Occasion	refer	
(B)41.2	Starting Stalls - report by Starter		
	1st Occasion	Starting Stalls test required	

Manual	Other Manuals related to	Offence	Band or Entry Point	Range
		2nd Occasion within 12 months	Starting Stalls test required and warned will be prevented from taking further test for 6 months if reoffends	
	Schedule (C)5 3.5	3rd Occasion within 12 months	6 month restriction unless Schedule (C)5 3.8 applies	
		4th Occasion within 12 months	refer	
(B)42.4	Schedule (B) 5 Part 4	Misconduct by trainer/ representative at the start	B	
(B)45.2		Failure to ride to their draw		
		a) 1st - 4th Offence (same penalty)	1 day	
		b) 5th Offence	refer	
(B)45.6		On trainer's instructions	C	
(B)46.2		Remounting	4 days	
(B)46.4		Complete the course with other runners, having pulled up	A	
(B)48.1		Rider ignores stop race procedure (yellow flag)	10 days	
(B)49.1	(B)51	Rider ignores the direction markers	Disqualify horse 10 days	
(B)51.1	(B) 51.3	Rider fails to pull up having knowingly taken the wrong course	Disqualify horse 3 days (additional penalty for taking wrong course)	1 - 10 days
(B)53	Schedule (B)6	Interference (Dangerous Riding)	See page 21	
(B)54	Schedule (B)6	Interference (Careless & Improper)	See pages - 22 & 23	
(B)54		Whip - Improper Riding		
		a) Misuse of the Whip	See pages - 28	
		b) Hitting another rider deliberately with the whip	See page 29	

Manual	Other Manuals Offence related to	Band or Entry Point	Range
(B)57.1	Rider makes a manoeuvre to allow another horse a clear run		
	(i) but causes no interference	7 days	5 - 10 days
	(ii) and fails to achieve his best possible placing	14 days	7 - 21 days
(B)57.1	Rider intentionally interferes with a horse to assist another horse in the race	21 days	10 - 28 days
	Rider causes interference as a result of moving off his racing line to assist another horse in the race	10 days	7 - 14 days
(B)57.3	Trainer instructs rider to breach Rule (B)57.1	£10,000	£5,000 - £15,000
(B)58	(B)59 (C)45 (D)45	Horse not running on its merits ('PLACING' means any placing from and including first to last)	See pages 8 - 12
(B)58	(B)59.3	Taking the wrong course	See page 9
(B)58	(B)59.4	Rider pulls up after waving of chequered flag	7 days
(B)67.4.2	(B)14.2 (D)47.1	Failure to weigh in	Mandatory Disqualification
	(i) Winner	21 days	
	(ii) Second/Third	7 days	
	(ii) Fourth (or any other placing for which there is prize money)	3 days	
	(iv) Any other placing	2 days	
(B)67.4.3	Weighing in at 2lbs or more overweight		
	(i) First four placings	3 days	
	(ii) Any other placing	1 day	

Manual	Other Manuals related to	Offence	Band or Entry Point	Range
(B)67.4.4	(B)14.2 (C)43.3	Failure to draw the weight at which the rider weighed out by more than 1lb	Mandatory disqualification	
		Rider or trainer in breach		
		(i) Winner	5 days (rider) or £1,500 (trainer)	
		(ii) Second/Third	4 days (rider) or £1,000 (trainer)	
		(iii) Any other placing	3 days (rider) or £750 (trainer)	
		Cause not established - joint penalty		
		(i) Winner	3 days (rider) and £750 (trainer)	
		(ii) Second/Third	2 days (rider) and £500 (trainer)	
		(iii) Any other placing	1 day (rider) and £250 (trainer)	
(B)75.5		No good and reasonable grounds for objection	A	
		- frivolous or vexatious	C	
(B)83		Failure to obey Stewards	2 days (rider) £500 (trainer)	1 - 28 days £100 - £10,000
(B)83	(B)6.1.7 (B)6.1.8	Refusal to allow horse to be examined	Pre race: horse withdrawn  Post race: £2,000	refer  £1,000 - £7,500 or refer
(B)83		Refusal to attend an enquiry	£3,000	£1,000 - £10,000
Schedule (B)3 7.1	(C)33 (A)74 Ground 4	Substance administered on day of race (after 12 midnight) without dispensation either on racecourse premises or prior to the race.		
		a) Pre race: Unallowable substance	Withdraw See <b>Note 2</b> under (A)27.2 or refer	

Manual	Other Manuals Offence related to	Band or Entry Point	Range
	Allowable substance	Horse can run	C
	b) Post race: Unallowable substance	See <b>Note 2</b> under (A)27.2	
	Allowable substance	B	
	c) Normal feed not offered by mouth	C	

**Note:** If it is found post-race that any substance was given pre-race, the horse should normally be sampled and the matter referred so that consideration can be given to the horse's possible disqualification and a penalty for the trainer.

Fines for breaches of Schedule (B)3 7.1 should be imposed first and foremost for the substance which is found and then reflect whether it was a failure to request dispensation. Fines should not be increased just because the substance is also in a syringe or a syringe is present in order to administer the substance.

Schedule (B)3 7.1	(C)36.5.3.3 Substance given on day of race and before it runs for which permission would not be granted	Horse must not run - refer	
Schedule (B)4 4.4	Modification of visors		
	1st Offence	Draw trainer's attention	
	2nd Offence	B	
Schedule (B)4 5.2	Declared tongue strap not fitted in error or not shown to Veterinary Officer/ Surgeon	B	
Schedule (B)4 5.5	Loss of blinkers, hood, visor, eyecover, eyeshield or cheek pieces		
	i) Accidental	No penalty	
	ii) Deliberate to affect performance	refer	
	a) In paddock - time to add declared garment or remove non-declared garment	No fine	

Manual	Other Manuals Offence related to	Band or Entry Point	Range
	- if garment cannot be added	B Horse withdrawn	
	b) At start - without declared garment/ with non-declared garment	B Horse withdrawn	
Schedule (B)4 5.6	Substitution of incorrectly declared garment	B	
Schedule (B)4 5.7	Tongue strap declared in error	B Horse can run	
Schedule (B)4 6.2	Undeclared tongue strap worn prior to or in a race	C Horse can run	
Schedule (B)4 7.1	(C)36.1 Oversize calkins/ nailheads		
	a) Horse withdrawn or problem resolved	B	
	b) Horse runs in oversize calkins/ nailheads	C	
Schedule (B)4 8	Nasal dilators or supports	C	
Schedule (B)4 8	Bells on bridle	B	
(C)31.1	Any form of ringworm		
	Failure to produce a Certificate	B	
(C)32.2	Failure to use racecourse stable	B	
(C)32.4	Failure to vacate racecourse stable	B	
(C)33.3	Substance administered on racecourse premises the day before race without dispensation		
	Allowable substance	Horse can run C	
	Unallowable substance		

Manual	Other Manuals Offence related to	Band or Entry Point	Range
	a) If trainer runs horse	refer Sample horse	
	b) If trainer withdraws horse	See <b>Note 2</b> under (A)27.2	
<p>Fines for breaches of Rule (C)33.3 should be imposed first and foremost for the substance which is found and then reflect whether it was a failure to request dispensation. Fines should not be increased just because the substance is also in a syringe or a syringe is present in order to administer the substance.</p>			
(C)33.7	Use of physiotherapy machine without permission	A	
(C)34.1	Failure of trainer to report reason for poor performance*	C	
	*Horse wins, rating having dropped	D	
(C)34.3	Schedule (B)4 5.1 Trainer fails to report that horse lost tongue strap during race	B	
(C)36.1.2	Reins not correctly attached to bridle	A	
(C)36.1.3	(C)44.1 Other equipment worn by a horse	B	
(C)39.3	Identity card offence - trainer	A	
(C)40.5	Identity card offence - employee	A	
(C)42.1.1	Failure to reserve overnight accommodation - staff	A	
(C)42.1.2	Failure to reserve overnight stabling	A	
(C)43.1	Leading horses incorrectly	A	
(C)43.2	Incorrect weight or colours in racecard not declared:		
	a) Colours	A	
	b) Incorrect weight	B	
(C)43.3.1	Number cloth not carried	B	
(C)43.3.3	Saddling errors	B	



Manual	Other Manuals related to	Offence	Band or Entry Point	Range
(C)43.4		Removal of speed sensing device	C	
(C)43.5.2		Removal of lead	B	
(C)43.5.3		Add, remove or change equipment	B	
		Results in rider 2lbs or more overweight	C	
(C)44.1	(C)36.1.3	Fit condition of saddle - trainer	B	
(C)44.6		Late arrival of apprentice or conditional	B	Impose on employer
(C)45	B(58) (B)59 (D)45	Horse not running on its merits ('PLACING' means any placing from and including first to last)	See pages 8 - 12	
(C)45	Schedule (B)6 Part 2	Whip - instructions by trainer		
		when rider IN breach		
		a) Inadequate	D	
		b) Unacceptable	£2,500	£2,000 - £10,000
		c) Failure to give any to apprentice/ conditional	D	
		when rider NOT IN breach		
		d) Failure to give any to apprentice/ conditional	C	
(C)46		Running and riding enquiry		
		a) Trainer fails to authorise person to represent him	C	
		b) Trainer's representative unaware of rider's instructions	C	
(C)48.1		Trainer reported - unschooled horse		
		1st Occasion	FSB	
		2nd Occasion	refer	

Manual	Other Manuals Offence related to		Band or Entry Point	Range
Schedule (C)5 3.3	(C)48.8	a) Starting Stalls test failure following 1st Starter's report within 12 months		
		within 7 days of report	£650	
		between 8 - 14 days	£290	
Schedule (C)5 3.4	(C)48.8	b) Starting Stalls test failure following 2nd Starter's report within 12 months		
		within 14 days of report	£1,300	
		between 15 - 28 days	£290	
Schedule (C)5 3.7	(C)48.8	Failing two consecutive stalls tests		6 months restriction on taking further test
		Third consecutive failure	refer	
(D)24.1		Failure to bring Medical Record Book		
		1st and 2nd offence	A	By Clerk of the Scales
		3rd offence	C	
(D)31.1		Rider fails to notify Clerk of Course when unable to ride	B	
(D)31.2		Rider substitution procedure	B	
(D)32	(D)74	Rider or valet leaves racecourse and returns without permission	C	
		- unless of the opinion he left for suspicious reason, in which case	refer	

<b>Manual</b>	<b>Other Manuals Offence related to</b>	<b>Band or Entry Point</b>	<b>Range</b>
(D)33	Mobile telephones (Rider)		
	a) Oversight	C	
	b) Deliberate	refer	
(D)36.1	(C)25 Schedule (D)2 Part 1	Skull cap/safety vest - to be worn when mounted	B
(D)36.1	(C)25 Schedule (D)2 Part 1	Skull cap/safety vest - unserviceable/modified	
	a) Accidental	B	
	b) Deliberate	D	
(D)36.2		Modified safety vest on racecourse	C
(D)36.4	(C)44.1	Fit condition of saddle	B
(D)37	Schedule (D)2 Part 2	Whip more severe than provided for in the specifications*	
*Stewards must prohibit the use of the whip and submit report, along with confiscated whip.			
(D)37.1		Failure to carry a whip	A
(D)37.1	Schedule (D)2 Part 2	Whip not complying with specifications	B
(D)37.2		Modified approved whip	B
(D)38.7		Failure to remove the blindfold	B
(D)38.8		Ear Plugs removed	
	a) By rider	1 day	
	b) On instruction of trainer/owner	D	
(D)40.1	(C)44.6	Rider fails to acquaint himself with course	4 days
			3 - 7 days
(D)41.1	(B)22	Late arrival or failure of rider to weigh out	B
(D)41.1		Failure of rider to weigh out because declared to ride two horses in same race	B
(D)41.1		Refusal to ride before weighing out	C

Manual	Other Manuals related to	Offence	Band or Entry Point	Range
(D)42.6	Schedule (D)2 Part 1	Safety vest - weighing out		
		a) Accidental	B	
		b) Deliberate failure to wear	D	
(D)43.1		Leaving saddle unattended	A	
(D)43.1		Equipment or clothing (inc safety vest) changes after weighing out	C	
(D)43.3		Failure to ride after weighing out	£800	£650 - £2,500
(D)44.2	(D)40.2	Rider goes into wrong stall		
		1st offence	Caution	
		2nd offence	£80	
		3rd offence	£140	
		4th offence	1 Day	
		If deliberate, 1st offence	7 Days	
		Rider starts from wrong stall		
		a) Accidental	1 day	
		b) Deliberate	7 days	
(D)44.2		Flip start- rider starts from wrong position		
		a) Accidental	1 day	
		b) Deliberate	7 days	
(D)44.4	Schedule (B)5	Misconduct by rider at the start		1 - 5 days
		Disregarded the marker poles	1 day	
		Disregarded the marker poles and allowed his horse's head to be in contact/ over the starting tape	2 days	
		Attempted to line up/ lined up for start before being instructed to do so	1 day	

Manual	Other Manuals related to	Offence	Band or Entry Point	Range
		Did not walk in or jig jog/broke the starting tape	1 day	
		Ignored the Starter's/ Assistant's instructions	1 day	
		Deliberately faced his horse backwards	2 days	
		Abusive comments directed at Starter/ Assistant	2 days	
(D)45.3		Failure to pull up - lame or injured horse - exhausted horse - where it is contrary to the horse's welfare	8 days	5 - 12 days or refer
(D)45.4		Failure to dismount from a lame or injured horse	10 days	7 - 14 days or refer
(D)46.1		Dismount before appropriate place	B	
(D)46.5.1		Removal of saddle	1 day	
(D)46.5.2	(D)47.3	Procedures prior to Weighing In		
		- accidental	1 day	
		- deliberate	3 days	
(D)47.1		Failure to present himself to Clerk of Scales	A	
(D)47.5		Rider not remaining within the vicinity of the weighing room for 5 minutes after the announcement of "Weighed In"	C	
(D)48	(C)35	Failure of rider to report that horse has gurgled	B	
(D)49		Failure of rider to report reason for poor performance	B	
(D)50		Failure to report to the RMO	B	
(D)51		Not passed fit by RMO		
		a) Attempts to weigh out	B	
		b) Rides in a race	14 days	

Manual	Other Manuals related to	Offence	Band or Entry Point	Range
(D)52		Late arrival at Stewards' Room	B	
(D)74		Mobile telephones (Valet)		
		a) Oversight	C	
		b) Deliberate	refer	
(D)74.1.1	(D)32	Valet leaves racecourse and returns without permission	C	
		- unless of the opinion he left for suspicious reason, in which case	refer	
(E) 15		Horse subject to ID check		
	(C)24 (E)15.3 (E)16.3	i) Passport not produced	C	inc NR penalty Horse must not run
	E(15) E(16)	ii) Cannot be identified from markings	refer	Horse must not run
	(C)24 (E)18 (E)19	iii) Vaccination section of passport not completed correctly	B	As it can be identified allow horse to run.
(E)15.3	(C)56.5 (E)16.3	Horse subject to vaccination check but passport not available	B	Ask trainer to sign declaration
(E)18		Vaccinations section of passport not completed correctly - other than alteration or a recheck	B	
(E)18		Recheck reveals vaccination record still out of order	D	
(E)18.2		Horse never vaccinated	D	inc NR penalty Horse must not run
(E)18.6		Horse vaccinated within previous seven days	C	inc NR penalty Horse must not run
(E)19.5	(E)19	Alteration to vaccination record - other than in a recheck	A	

Manual	Other Manuals related to	Offence	Band or Entry Point	Range
(E)19.5		Recheck reveals alteration to vaccination record still out of order	C	
(E)82.1	(E)82.7	Runs in colours other than those registered	A	
(E)89	Schedule (B)6 Part 2	Whip - instructions by owner		
		when rider IN breach		
		a) Inadequate	D	
		b) Unacceptable	£2,500	£2,000 - £10,000
		c) Failure to give any to apprentice/conditional	D	
		when rider NOT IN breach		
		d) Failure to give any to apprentice/conditional	C	
(F)63.1		Failure to lodge passport	A	
(F)92.2		Failure to declare a rider	B	
(F)92.6		Unavailable rider declared to ride	A	
(F)96.1	Schedule (F)7	Horse does not run	B	
(F)96.2		Double declarations - circumstances not exempted by Rules (F)98 and (F)99	D inc NR penalty	
		Examples:		
		a) Horse is declared to run in one race at Ayr & one race at Bath but runs at Bath	D	
		b) Horse is declared to run in two races at Ayr and runs in the first	D	
		c) Horse is declared to run in two races at Ayr but runs in neither	D Second NR penalty may be imposed	

Manual	Other Manuals related to	Offence	Band or Entry Point	Range
		d) Horse is declared to run in one race at Ayr & one at Bath & runs in neither	D Second meeting may also impose NR penalty	
(F)96.4.2		Wilful disregard of interest of racegoers - taking account of nature of offence and importance of race	£500	£250 - £1,500
(F)98.5		Double declaratons - runs at non-preferred meeting contrary to Rules (F)98.5 and (F)99.5	£1,200 inc NR penalty	
(F)100	Schedule (F)7	Non-runner - failure to notify Racing Calendar Office or Clerk of the Scales	B	
Schedule (G)3 1.5		Passport not available for inspection in sampling unit	B	



## 6. OFFENCES CONSIDERED BY THE DISCIPLINARY PANEL

- 1) The Disciplinary Panel has the power at its discretion under Chapter (A)2 of the Rules of Racing to impose any one or more of the following penalties:
  - (a) a fine not exceeding £75,000;
  - (b) declare a person disqualified;
  - (c) exclude a person from any premises licensed by the BHA;
  - (d) withdraw or suspend a licence or permit and to defer a suspension but not normally for more than 6 months
  - (e) make any person ineligible for any licence or permit or registration under the Rules of Racing for such period or periods as they may in their discretion think fit;
  - (f) issue a caution;
  - (g) in the case of a rider, order attendance at a course in remedial training at the British Racing School or Northern Racing College;
  - (h) in the case of a trainer, to refuse to accept or to allow as the case may be for such period or periods as they think fit:
    1. any entries for horses in the care of the trainer except for races that will be run outside that period;
    2. any horse to run in the care of the trainer even if duly entered;
    3. any horse that has left the care of the trainer and run in a race to return to the care of the trainer until such period has expired;
    4. any horse to be declared to run under Rule (F)89 in the care of the trainer except for races that will be run outside that period.
- 2) When deciding the appropriate penalty the Panel should normally start their deliberations at the 'Entry Point' highlighted within the 'Range' and, dependent on the circumstances, reduce the sanction to take account of mitigating factors or increase the sanction to take account of aggravating factors. The 'Entry Point' is therefore the normal penalty for a case with no aggravating or mitigating factors. In all cases the Panel has the discretion to impose a sanction which is outside the 'Range'. In respect of offences not referred to in the table, appropriate sanctions may be imposed at the discretion of the Panel by applying suggestions of similar sorts of offences or by referral to the recommendations given to the Stewards.
- 3) Having by this process determined the penalty within the 'Range' which the Panel would impose for the offence the Panel should then consider whether the penalty should be reduced in recognition of the conduct of the person concerned since first being on notice that his conduct was under investigation. The Panel may reduce a penalty by as much as one half where the person has co-operated fully with the investigation and, where applicable, provided information enabling action to be taken against other wrong doers. In a case where the person concerned admits the charge in the form sent to him in accordance with Schedule (A)6 Paragraph 7.2 the Panel may consider reducing the penalty by up to a third. The policy behind mitigating penalties in this way is to encourage persons who are guilty of an offence to make as

early an admission as possible so as to release racing's limited resources for pursuing other matters; to facilitate action against others, and to save the time and expense of lengthy investigations and hearings. The reduction in penalty will therefore in all probability be smaller (and perhaps not applied at all) in straightforward cases where the evidence of breach is plain and compelling or video based, as will also be the case where admissions are not made until shortly before or at the hearing. Reduction of penalty will therefore also have no or limited application regarding standalone riding offences and cases of strict liability eg. prohibited substances.

- 4) The Panel will not normally consider a previous decision to be helpful or relevant when deciding the appropriate penalty to be applied in accordance with the principles set out in these guidelines.
- 5) The Panel should have regard to the current guideline at the date of its decision on penalty provided that it must not apply a penalty greater in its effect or different in kind from that which it would have the power to impose under the Rules of Racing in force at the time of the offence(s).
- 6) Where the Panel imposes a significant period of suspension or equivalent penalty it may be expected to make the person ineligible under Rule (A)57 for alternative involvement as a participant in horseracing in all licensed or permitted capacities and such other capacities as it may consider appropriate to the case for the same period.
- 7) The Panel may order the trainer and/or owner, under Rule (A)46.4, to pay up to a total of £500 towards the costs of the B Sample analysis procedure set out in Schedule (G)4.
- 8) The protocol in relation to Guilty Pleas and Plea Bargaining can be found at Schedule (A)10.

## RECOMMENDED PENALTIES FOR OFFENCES CONSIDERED BY DISCIPLINARY PANEL

Manual	Other Manuals Offence related to	Recommended fine or Entry Point	Range
(A)15.1	Unlicensed rider rides in race	Disqualify horse £150 or Suspend licence 2 days	£100 - £1,000 1 - 5 days
(A)29	Entering not qualified horse	£1,000 or Disqualify/ Exclude 3 months	£500 - £3,000 1 month - 3 years
(A)30	Prejudicial to the integrity, proper conduct or good reputation of horseracing	£2,000 or Suspend/ Withdraw/Disqualify 3 months	£1,000 - £15,000 1 month - 3 years
(A)30.2	Schedule (A)4 Bloodstock code of practice	£7,500 or Suspend/ Withdraw/Disqualify/ Exclude 6 months or refuse to accept entries	£5,000 - £15,000 3 months - 3 years

<b>Manual</b>	<b>Other Manuals Offence related to</b>	<b>Recommended fine or Entry Point</b>	<b>Range</b>
(A)30.3	Associating with a disqualified or excluded person under Rule (A)64	£1,000 or Suspend/Withdraw/Disqualify 3 months or refuse to accept entries	£500 - £2,500 1 month - 3 years
(A)31.1	Rider failing to attend seminar or training course	5 days	2 - 10 days
	Breach of declaration or undertaking by licensed person ie. Terms and Conditions of Employment	£750	£500 - £5,000
	Failure to comply with requirement	£750	£500 - £5,000
	Provide inaccurate information or omit any relevant information	£250	£100 - £2,000
(A)31.2	Forged signature	£750 or Suspend/Withdraw/Disqualify 2 months	£500 - £2,000 1 month - 1 year
	Misleading or endeavouring to mislead the persons referred to in the Rule	£2,000 or Suspend/Withdraw/Disqualify/Exclude 3 months	£1,000 - £5,000 1 month - 3 years
	Misleading or endeavouring to mislead an Investigating Officer	£2,000 or Suspend/Withdraw/Disqualify/Exclude 3 months or refuse to accept entries	£1,000 - £5,000 1 month - 3 years
	Rider giving deliberately misleading evidence at an enquiry	7 days	5 - 10 days
	Trainer giving deliberately misleading evidence at an enquiry	£1,500	£500 - £5,000
(A)32	(a) Violent or Improper conduct towards Stewards or Officials		
	i) Abusive behaviour (verbal only)	4 days (rider) £1,000 (trainer)	1 - 21 days £100 - £5,000
	ii) Threatening behaviour (verbal, physical gestures)	21 days (rider) £5,000 (trainer)	14 - 42 days £2,500 - £10,000

Manual	Other Manuals Offence related to	Recommended fine or Entry Point	Range
	iii) Violent conduct (physical contact)	£5,000 or Suspend/Disqualify/Exclude 3 months	£2,500 - £12,000 1 month - 3 years
	(b) Violent or Improper conduct between riders/trainers	4 days (rider) £500 (trainer)	1 - 21 days £100 - £5,000
(A)33	Bribes	Disqualify/Exclude 3 years	3 months - 10 years
(A)35.4	Service provider - lays any horse owned, trained or ridden by the person for whom he has provided a service etc	Disqualify/Exclude 18 months	3 months - 10 years
(A)35.9	Failing to ensure that no other person uses an account in his name to lay any horse	£10,000	£5,000 - £20,000
(A)36	Information for reward etc		
	Rider	Disqualify 3 years	18 months - 5 years
	Trainer/owner/ authorised rider's agent	Disqualify 3 years	18 months - 5 years
	Stable employee	Disqualify 3 years	18 months - 5 years
	Service provider/other person	Disqualify/Exclude 3 years	18 months - 5 years
(A)37	Assist or cause another person to be in breach	For Penalty see Rule that was breached	
(A)38	Participation at unrecognised race meeting	Disqualify 3 months	1 month - 1 year
(A)39	Breaching owners' trainers' or riders' sponsorship controls	£150	
(A)39	Deliberately breaching sponsorship controls	£3,000	£1,000 - £25,000
(A)39	(C)26 Failing to remove sponsorship branding when instructed	£600	£500 - £5,000
(A)40	Criminal offence with regard to racing	Disqualify/Exclude 1 year	6 months - 10 years

<b>Manual</b>	<b>Other Manuals Offence related to</b>	<b>Recommended fine or Entry Point</b>	<b>Range</b>
	Running a 'ringer'	Disqualify/Exclude 20 years	15 - 25 years
(A)41	Corrupt or fraudulent practice	Disqualify/Exclude 3 years	6 months - 10 years
(A)42	Causing a licensed/registered person to breach the betting restriction Rules	Disqualify/Exclude 6 months	3 months - 10 years
(A)42A	Failure to disclose unacceptable behaviour	£2,000 or Suspend/Withdraw/Disqualify 3 months	£1,000 - £5,000 or Suspend/Withdraw/Disqualify 1 month - 3 years
(A)45.1.1	Schedule (A)6 Failure to return Schedule (A)6 7.2 form	£250	£200 - £5,000
(A)45.1.2	Schedule (A)6 Failure to attend an enquiry/appeal	£1,000 or Suspend licence 5 days or Disqualify 3 months	£200 - £2,000 or Suspend licence 2 - 20 days or Disqualify 1 month - 1 year
(A)45.1.3	Failure to produce information or records for enquiry/appeal	£2,500	£500 - £10,000
(A)45.2.1	Failure to attend an enquiry - witness	£1,000 or Suspend licence 5 days or Disqualify 3 months	£200 - £2,000 or Suspend licence 2 - 20 days or Disqualify 1 month - 1 year
(A)45.2.2	Failure to produce information or records for enquiry	£2,500	£500 - £10,000
(A)49	Failure to co-operate with any authorised person	£2,000 or Suspend/Withdraw/Disqualify 3 months	£1,000 - £5,000 1 month - 3 years
(A)49.4	Hinders or obstructs	£2,000 or Suspend/Withdraw/Disqualify 3 months	£1,000 - £5,000 1 month - 3 years
(A)50.2	Fails to agree a time or place for an interview	£2,000 or Suspend/Withdraw/Disqualify 3 months	£1,000 - £5,000 1 month - 3 years
(A)50.2	Records not produced Rider/trainer/owner/ valet/authorised rider's agent	Disqualify 18 months	1 - 3 years

Manual	Other Manuals Offence related to	Recommended fine or Entry Point	Range
	Late production of records		
	Rider	Suspend/Withdraw/Disqualify 2 months	1 month - 1 year
	Trainer/owner/valet/ authorised rider's agent	£2,000 or Suspend/Withdraw/Disqualify 2 months	£1,000 - £5,000 1 month - 1 year
	Tampering with records - rider/trainer/owner/valet/authorised rider's agent	Suspend/Withdraw/Disqualify 9 months	6 - 18 months
(A)71.1	Attending meeting whilst a disqualified person	£2,000 or increase period of disqualification	£1,000 - £10,000
(A)74 Ground 8	Failure to lodge a transfer of engagements	£200	£150 - £500
(A)74	Failure to register the appropriate document	£200	£150 - £500
(A)77.1	Schedule (A)6 Failure to attend an appeal	£1,000 or Suspend licence 5 days	£200 - £2,000 or Suspend licence 2 - 10 days
(A)100.7	Failure to notify Racing Calendar Office no longer registered for VAT	£100	
(B)6.1.7	Refusal to allow horse to be examined	£5,000 or Suspend/Withdraw licence 3 months	£2,500 - £12,000 1 month - 1 year
(B)36.1	Rider late to the start: 5th offence	7 days	5 - 10 days
(B)45.2	Rider not keeping straight at start (x5)	7 days	5 - 10 days
(B)58	(B)59.2 Deliberately not riding a horse to obtain the best possible placing for personal reward or where horse has been layed to lose	See pages 8 - 12 - Running and Riding	
	Stopping probable winner	See pages 8 - 12 - Running and Riding	
Schedule (B)3 7.1	Substance given on day of race and before horse runs	£1,000 Suspend horse for 20 days Disqualify if ran	£750 - £2,000

<b>Manual</b>	<b>Other Manuals Offence related to</b>	<b>Recommended fine or Entry Point</b>	<b>Range</b>
Schedule (B)3 11A	Horse administered intra-articular corticosteroid on the day of the race or on any of the 14 days before the race.	Disqualify horse £1,000	£750 - £2,000
Schedule (B)3 11.1	Running a horse that has had a neurectomy	Disqualify 2 years	Disqualify 6 months - 3 years
Schedule (B)3 22 and 23	Horse not in care of licensed trainer		
	- mistake	£500	£400 - £1,000
	- deliberate	£5,000	£2,500 - £10,000
(C)4.5	Failure to produce evidence of ownership of horses under the care or control of a Permitted Trainer	£2,000 or Withdraw/ Disqualify 3 months	£1,000 - £5,000 1 month - 3 years
(C)12.1	Failure to check identity of horse - incorrect horse	£750	£450 - £1,500
	Failure to check identity of horse - correct horse but marking errors	£300	£200 - £500
(C)12.2	Failure to report discrepancies to the Racing Calendar Office	£100	£75 - £150
(C)13	Incomplete medication records	£500	£250 - £2,000
(C)15.2	Failure to correct/ return Stable Employees' Register Return	£200	£150 - £1,000
(C)16.3	Failure to correct/ return Horses in Training Return	£200	£150 - £500
(C)17.1	Failure to notify horse has been gelded	£100	-
(C)17 A	Failure to notify horse is of ambiguous sex	£100	-
(C)18.2	Notification of overseas performances (new horse arrives from abroad)	£300	£200 - £500

Manual	Other Manuals related to	Offence	Recommended fine or Entry Point	Range
(C)19.2		Notification of overseas performances (by GB trained horse)	£300	£200 - £500
(C)20	Schedule (C)4 Part 1	Failure to enter into training agreement	£100	-
		Failure to comply with Schedule(C)4 Part 2 (Code of Conduct for Trainers)	£2,000 or Suspend/Withdraw/Disqualify 3 months	£1,000 - £10,000 1 month - 3 years
(C)20A.1		Failure to notify change in employment status	£300	£200 - £500
(C)22	(C)27	Trainer in breach of Rule regarding horse(s) in his charge		
		a) Below acceptable standard	£2,000	£1,000 - £3,000
		b) Neglect over a period of time - very poor husbandry	Withdraw licence 9 months	6 months - 3 years
		c) Wilful cruelty	Disqualify 8 years	5 - 25 years
(C)25		Failure to wear protective clothing and head gear	£250	£100 - £2,000
(C)30.1		Failure by trainer to report communicable disease	£1,500	£1,000 - £10,000
(C)31.4		Certificate not produced and scrapings positive	£750	-
(C)33.3		Substance given on racecourse premises the day before the race	£1,000 Suspend horse for 20 days	£750 - £2,000
(C)37.2		Running wrong horse in race	£800	£500 - £2,000
(C)38		Failure to lodge foreign racecourse performances (Horse trained outside GB)	£350	£250 - £1,000
(C)43.3		Wrong weight carried	Disqualify horse £500	£250 - £1,500



<b>Manual</b>	<b>Other Manuals Offence related to</b>	<b>Recommended fine or Entry Point</b>	<b>Range</b>
(C)43.4	Removal of speed sensing device (x4)	£5,000 Obtain undertaking from trainer not to run horses without SSD	£4,000 - £8,000
(C)64.1	Trainer - lays a horse under his care etc	Disqualify 18 months	3 months - 10 years
(C)64.2	Stable employee - lays a horse under the care of his employer etc	Disqualify 18 months	3 months - 10 years
(C)66A.2	Failure to notify Racing Calendar Office of an arrangement with a Betting Organisation	£100	£75 - £500
Schedule (C)2 1.1	Failure to contact previous employer	£150	£150 - £500
Schedule (C)2 1.2	Failure to register new employee	£300	£250 - £500
Schedule (C)2 1.4	Failure to notify National Insurance number	£100	£75 - £150
Schedule (C)2 1.5	Failure to notify termination of employment	£100	£75 - £150
Schedule (C)4 5.4	Trainer submits unjustified or frivolous report	£300	£150 - £1,000
Schedule (C)5 3.5	Horse receiving report from starter (x4)	Indefinite restriction	
Schedule (C)5 3.7	Three consecutive stalls test failures by horse	Indefinite restriction	
(D)13	Failure to report any injury or illness	£250	£150 - £1,000
(D)14.1	Jockey is owner or part owner of a horse	Suspend/Withdraw licence 3 months	1 month - 3 years
(D)33	Mobile phones (rider)	£500 or Suspend/Withdraw licence 1 month	£350 - £2,000 7 days - 1 year
(D)34.3	Request for telephone records	£300 10 days	£250 - £5,000 5 - 28 days
(D)53 and (D)55	Jockey - bets, lays or accepts the proceeds etc	Disqualify 18 months	3 months - 10 years

Manual	Other Manuals related to	Offence	Recommended fine or Entry Point	Range
(D)54		Amateur rider - bets, lays or accepts the proceeds etc	Disqualify 18 months	3 months - 10 years
(D) Part 6		Positive Sample (rider)	See Testing For Banned Substances pages 60 - 61	
(D)74		Mobile phones (valet)	£500 or Suspend/Withdraw licence 1 month	£350 - £2,000 7 days - 1 year
(D)75		Valets - bets, lays or accepts the proceeds	Disqualify 18 months	3 months - 10 years
(D)78.1		Authorised rider's agent - lays any horse ridden by a rider for whom he acts etc	Disqualify 18 months	3 months - 10 years
(D)79.2		Failure to notify the Racing Calendar Office of an arrangement with a Betting Organisation	£100	£75 - £500
(E)15.5		Failure to present correct horse to VO	£750	£450 - £1,500
(E)18		Vaccination offence (x4)	£1,000	£750 - £1,500
(E)24		RCN not received	£150	£150 - £500
(E)26A	Schedule (B)3	Failure to notify neurectomy	£1,000 or Withdraw/Disqualify 6 months	£250 - £5,000 Withdraw/Disqualify 1 month - 2 years
(E)82.6		Failure to register colours	£110	-
(E)83.7		Failure to declare alternative colours to the Racing Calendar Office or subsequently runs in wrong colours	£80	-
(E)87		Failure to notify Racing Calendar Office horse is of ambiguous sex	£100	-
(E)89A		Owner compensates rider or instructs another to do so	£12,500 or Disqualify 6 months	£5,000 - £30,000 or 1 month - 3 years
(E)92.2.1		Owner - lays a horse he owns etc	Disqualify 18 months	3 months - 10 years
(F)12		Non payment of fixture fee	£2,000	£1,000 - £3,000

Manual	Other Manuals related to	Offence	Recommended fine or Entry Point	Range
(F)15		Breach of BHAGI's by Managing Executives	£3,500	£1,000 - £15,000
		Breach of BHAGI 11.1 Part 1(a) - RMO not registered with Medical Department	£500	-
		Breach of BHAGI 11.1 para 13(c) - medical services incomplete	£5,000	£3,500 - £15,000
		Breach of BHAGI 11.2 para 3 - Annex B form signed when medical arrangements incomplete	£7,500	£5,000 - £15,000
		Minor technical breach of the Medical arrangements		Caution
(F)51	Schedule (F)4	Failure to comply with the Protocol for Claimants	£400 or Disqualify/Exclude 3 months	£200 - £2,000 1 month - 3 years
(F)56		Multiple claims	£800	£250 - £2,000
(F)57		Claim not paid or secured within 2 days	£400	£250 - £2,000
(F)57		Not honour claim within 12 days	£400	£250 - £2,000
		Dishonour claim	Disqualify/Exclude 2 years	1 - 5 years
(F)59.1		Claimant sells horse before paying for it	£400	£250 - £1,000
(F)59.4		Horse entered or run contrary to Rule (F)59.3	£800 (suspend horse)	£250 - £2,000 (suspend horse)
(F)95		Delay in making a scratching	£500	£250 - £2,000
(F)96.2		Double declaration (x3)	£2,000	£1,500 - £3,000
(F)101		Failure to notify death of a horse	£100	
(F)114.1		Failure by racecourse to pay prize money to stakeholders	£2,000	£1,000 - £3,000
(F)119		Incorrect payment of stable percentage money (administrative)	£100	£75 - £500

Manual	Other Manuals Offence related to	Recommended fine or Entry Point	Range
	Failure to display return and/or criteria for payment	£100	£75 - £500
	Retention of stable percentage money by trainer	£2,000 or Suspend/Withdraw licence 3 months	£1,000 - £5,000 1 month - 3 years
(F)143.3	Failure to claim correct riding allowance	£250	£150 - £1,000
(G)2.1	Presence of Prohibited Substance in Horse's Sample		
	a) Stalls test	£1,000	£750 - £2,000
	b) Raceday substance	Disqualify Horse £1,000 Disqualify 2 years	£750 - £10,000 Disqualify 1 - 10 years
	c) Substance prohibited at all times	Disqualify Horse Disqualify 2 years	Disqualify 1 - 10 years
(G)2.2	Use or Attempted Use of a Prohibited Substance or a Prohibited Method		
	(d) Stalls test	£1,000	£750 - £2,000
	(b) Raceday substance	Disqualify Horse £1,000 Disqualify 2 years	£750 - £10,000 Disqualify 1 - 10 years
	(c) Substance or method prohibited at all times	Disqualify Horse Disqualify 2 years	Disqualify 1 - 10 years
(G)2.3	Evading, Refusing or Failing to Submit a Sample Collection		
	a) Evasion or Refusal	Disqualify Horse Disqualify 2 years	Disqualify 1 - 10 years
	b) Failing - intentional conduct	Disqualify Horse Disqualify 2 years	Disqualify 1 - 10 years
	c) Failing - negligent conduct	Disqualify Horse Disqualify 1 Year	Disqualify 6 months - 5 years
(G)2.4	Tampering or attempted tampering	Disqualify Horse Disqualify 2 years	Disqualify 1 - 10 years

<b>Manual</b>	<b>Other Manuals Offence related to</b>	<b>Recommended fine or Entry Point</b>	<b>Range</b>
(G)2.5	Administration or attempted administration		
	(a) Raceday substance or method	Disqualify Horse £2,000 Disqualify 2 years	£1,000 - £12,000 Disqualify 6 months - 10 years
	b) Substance or method prohibited at all times	Disqualify Horse Disqualify 2 years	Disqualify 6 months - 10 years
(G)2.6	Possession		
	(a) Raceday substance or method on raceday	Disqualify Horse £1,000 Disqualify 2 years	£750 - £1,500 Disqualify 1 - 10 years
	b) Substance or method prohibited at all times	Disqualify Horse Disqualify 2 years	Disqualify 1 - 10 years
(G)2.7	Trafficking or attempted trafficking	Disqualify Horse Disqualify 4 years	Disqualify 2 - 12 years
(G)2.8	Whereabouts Failures		
	Filing Failures	£2,000 Disqualify 6 months	£1,000 - £5,000 Disqualify 1 month - 3 years
(G)2.9	Complicity	For penalty see the breach that the complicity was relevant to.	

## 7. TESTING OF RIDERS FOR BANNED SUBSTANCES

### RECOMMENDED PENALTIES FOR BREACHES OF RULES (D)61 - (D)67

ALCOHOL	Recommended Penalties	
	ENTRY POINT	RANGE
<b>1st Offence</b>		
20-38* micrograms per 100 millilitres of breath or at or above 54 milligrams per 100 millilitres in urine (the 'Lower Level')	Caution (rider stood down on the day)	
39* & upwards micrograms per 100 millilitres of breath or 108 & upwards milligrams per 100 millilitres of urine (the 'Upper Level')	40 days	28 - 60 days
<b>2nd Offence</b> (with 24 months)		
Lower Level- if 1st offence 'Lower'	10 days	7 - 21 days
- if 1st offence 'Upper'	14 days	7 - 21 days
Upper Level - if 1st offence 'Lower'	45 days	40 - 60 days
- if 1st offence 'Upper'	100 days	90 - 120 days
<b>3rd Offence</b> (within 36 months)		
Upper or Lower Level	90 days	60 - 180 days

\* These figures take account of the error factor in the equipment used for determining alcohol levels.

**Recommended Penalties**

	<b>ENTRY POINT</b>	<b>RANGE</b>
<b>DIURETICS</b>		
<b>1st Offence</b>	£350	£300 - £500
<b>2nd Offence</b> (within 24 months)	£700	£500 - £1,000
<b>3rd Offence</b> (within 36 months)	10 days	7 - 14 days
<b>OTHER BANNED SUBSTANCES &amp; NOTIFIABLE MEDICATIONS</b>		
<b>1st Offence*</b>	2 months	1 - 6 months
<b>2nd Offence*</b> (within 24 months)	9 months	6 months - 2 years
<b>3rd Offence*</b> (within 36 months)	3 years	2 - 5 years

\*The only exception being for cocaine when the rider will normally have his licence withdrawn at the top of the range

**REFUSAL OR FAILURE TO PROVIDE A SAMPLE<sup>†</sup>****Urine**

<b>1st Offence</b>	9 months	6 - 12 months
<b>2nd Offence</b> (within 36 months)	3 years	2 - 5 years
<b>Breath</b>		
<b>1st Offence</b>	90 days	60 - 120 days
<b>2nd Offence</b> (within 36 months)	9 months	6 - 12 months

<sup>†</sup>In cases of breath and urine a refusal or failure to provide a sample is likely to be considered to be serious and to attract a penalty at the higher end of the range.

**NOTE:**

Alcohol and Diuretic findings stand alone when looking at previous and subsequent offences except when in combination with a refusal to provide a sample. Offences under the headings 'Other Banned Substances and Notifiable Medications' and 'Refusal or Failure to Provide a Sample' will be combined when taking into account previous offences. An offence shall drop out of the reckoning after 36 months of it being imposed, except in the case of an alcohol reading within the 'Lower Level' when it shall be 24 months.







