



HEALTH AND SAFETY IN THE RACING AND BREEDING INDUSTRY

Guidelines on Good Practice
Sixth Edition – October 2013

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HEALTH AND SAFETY IN THE RACING AND BREEDING INDUSTRY

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INTRODUCTION

Welcome to the new sixth edition of the Guide to Health and Safety in the British Racing and Breeding Industry, commonly known as the "Red Book". The aim of this Guide is to help the Racing and Breeding Industry meet the requirements of health and safety law as well as incorporating good practice and procedures.

In general, health and safety law applies to all businesses, no matter how small. As an employer, or a self-employed person, you are responsible for health and safety in your business. You need to take the right precautions to reduce the risks of workplace dangers and provide a safe working environment.

We are indebted to all those who have contributed to the production of the Guide, and who are listed at the front. In particular, to the Thoroughbred Breeders' Association which has contributed to the funding for the review of this Guide and assisted with the production of it.

The Government's move towards Better Regulation has brought a change in compliance and a welcome return to common sense health and safety management, while retaining a requirement that the law is followed and that businesses can demonstrate this.

We all realise that health and safety laws can be seen as restricting, but the cost of not having these provisions in place is all too clearly illustrated by the statistics and daily roll call of serious and fatal accidents. Not only does this give rise to personal tragedies, but businesses have to bear the cost through prosecution, absenteeism and increasing insurance premiums. It is worth remembering that the standard your business needs to achieve **is what is reasonably practicable**, in other words the measures you take should be appropriate and in proportion to the size and type of business. Crucial to that is the ability to demonstrate what you have done to manage health and safety, and keeping accurate records of the measures you have taken will help to counter any suggestions that you lack commitment to health and safety.

We have produced a framework to guide you in preparing the documents needed to be legally compliant. It is in the following parts:

- 1 Statement - the basic objectives required by law
 - 1.1 Other documents - for example office handbooks or staff handbooks
- 2 The Policy - how to achieve the objectives set out in the document
 - 2.1 Roles and responsibilities - who does what
 - 2.2 Arrangements to make work safe - measures to reduce risk
 - 2.3 Accidents and Emergencies - what to do
 - 2.4 Monitoring: making sure that you are doing all you can and keeping records

We have also prepared a sample Health and Safety Statement and Policy, and rather than over-burden it we have brought together guidelines on good working practices, specific legal policies and sample documents, much of which will be recognised from the previous versions of the Guide, from which you should select and adapt as necessary those that are relevant to your business, and incorporate them to produce a concise Statement and Policy. In the final section are details of what to do if things go wrong.

The "Red Book" alone is not your Health and Safety Statement and Policy. If you have five employees or more then in order to be legally compliant you must have a written Statement and Policy that is applicable to your business. If you have less than five employees then our advice is to do so in any event. The framework, guidelines and the sample Policy will help you achieve that. Aside from the need for a Health and Safety Statement and Policy, do not forget that you must display the Health and Safety Law poster (see page 59 for HSE Publications) so that it can be seen by all your employees.

All of the documentation within this Guide will be available on line from the BHA, TBA and NTF, so that employers will be able to download relevant policies and amend them to suit individual circumstances.





A Framework for a Health and Safety Statement and Policy





A FRAMEWORK FOR A HEALTH AND SAFETY STATEMENT AND POLICY

(a sample Statement and Policy can be found on page 9)

This guidance will help you complete the Statement and Health and Safety Policy for your business

1 STATEMENT

This states the commitment of the Business to the objectives required for legal compliance. It also contains the standard to which the Business will work.

The Business must, so far as reasonably practicable:

1. Provide health and safety controls at all levels;
2. Comply with any legislation which applies to what it does;
3. Consult its employees over matters concerning health and safety;
4. Provide and maintain safe equipment and premises;
5. Ensure the safe handling and use of substances;
6. Provide information, instruction, training and supervision for all its employees;
7. Ensure that all those who work for it can safely do what they are asked to do;
8. Provide sufficient resources to maintain safe and healthy working conditions;
9. Do all that is appropriate to protect natural resources in the environment;
10. Review working conditions and revise this policy regularly at not more than three-yearly intervals, and whenever new equipment and/or activities are introduced.

This will then be signed by the owner of the business, dated, and the date for review indicated.

1.1 OTHER DOCUMENTS

Those documents which are not directly referred to in the Policy, but need to be read in conjunction with it, for example:

1. Any relevant applicable agreement between the Business and the National Trainers Federation and the National Association of Stable Staff.
2. Employee handbook.

2 THE POLICY

This is how to achieve the objectives of the Statement. It falls into four parts:

2.1 Part 1

Roles and responsibilities

Everyone in the Business has a role to play. The management structure of the Business needs to be clearly set out so that everyone knows who does what, their responsibilities and obligations, and how they may be contacted.

It starts with:

1. Ultimate legal responsibility - this will be with the owner of the Business;
2. The manager (if any) to whom the owner(s) delegates the management of the Policy to see that it is carried out. The manager(s) will direct others in the Business. Depending on the structure of the Business, an owner may in fact be the manager. Whoever has this role has legal obligations arising from the Policy;





3. The staff with day to day responsibility for implementing the Policy - who may, depending on the structure of the Business, be the owner, manager, or a supervisor, foreman or secretary. In the specimen Policy this is described as the yard foreman. You should adopt the terminology that is used in your business.

It is essential that whoever directs what happens in the Business has competence in health and safety matters through experience or training, or appoints someone who is competent to fulfil this role. Where there is no-one with the necessary competence then external advisers should be used.

The variation in roles should be borne in mind when preparing the Policy for the Business.

A simple diagram setting out the management structure can be helpful.

Employer's Obligations

These will usually reside with the manager, if there is one, or the owner.

They are:

1. To keep health and safety records comprising key documents, for example; risk assessments, accident and incident book, sub-contractors' details, employees concerns and action taken, training and induction;
2. To discuss with employees any health and safety concerns and changes to the Policy or procedures - this is a consultation and communication process;
3. To delegate appropriately - this is the implementation of the policy, ensuring that anyone asked to do something is competent to do it.

Employees' Obligations

Their obligations are:

1. To co-operate with those responsible for health and safety matters;
2. Not to interfere with anything that safeguards health and safety;
3. To take reasonable care of their own health and safety and of those affected by anything they do.

2.2 Part 2

Arrangements to make work safe

Horses (particularly thoroughbreds) are inherently unpredictable, and working in close proximity to them exposes employees of the Business and others to the risk of injury. Equine establishments undertake a variety of tasks which have the potential to cause harm. Examples of the main areas of risk in the Business should be considered. These are likely to include;

1. Falls, slips and trips;
2. Handling and riding horses;
3. Plant and machinery;
4. Loose horses;





The Business must look at the risks to the health and safety of its employees and to anyone else who may be affected by what it does, and put in place measures to reduce those risks. The way in which the Business does that is by providing:

1. Risk assessments to ensure, as far as reasonably practicable, that all tasks are performed safely;
2. Induction and training;
3. Specific policies required by health and safety law;
4. Guidance on safe working practices;
5. Sub-contractor assessments;
6. External advisers where needed;
7. Appropriate delegation of tasks;
8. Safe plant and equipment;
9. COSHH management.

2.3 Part 3

Accidents and Emergencies

Here explain what procedures the Business has put in place to deal with:

1. First aid and work-related ill health.
2. Emergencies

2.4 Part 4

Monitoring

All records reflecting audits, meetings and reviews should be retained, along with the Health and Safety Statement and Policy which can be checked by the authorities if things go wrong.

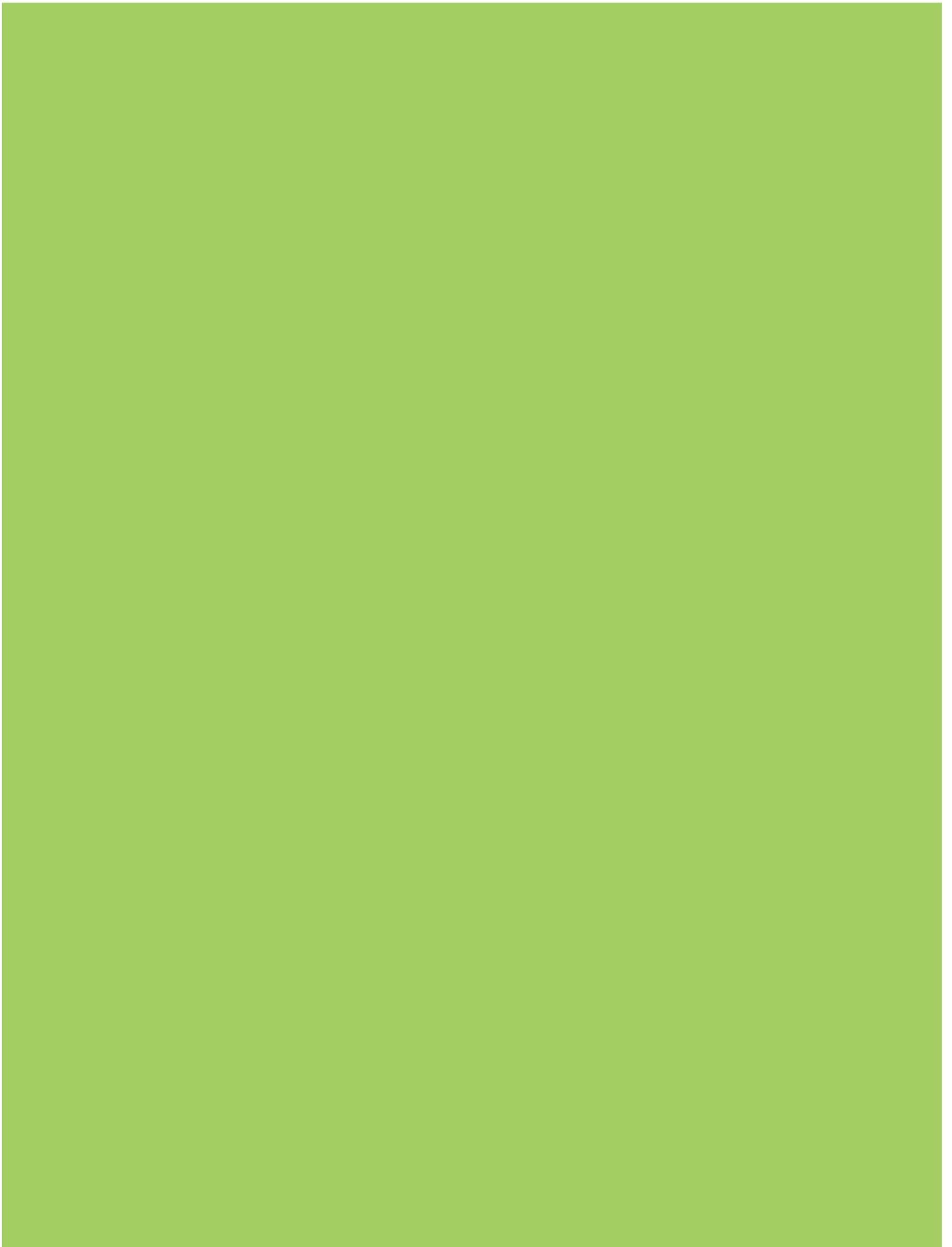
Monitoring means "making sure we are doing all we can". You should explain how you do that. It is vital to pick up on any trends and habits leading to near-accidents that might have developed and to ensure they are addressed.

You should keep a record of any money you spend in complying with your health and safety obligations.





A Sample Health and Safety Statement and Policy





Sample Document

(BUSINESS NAME)

HEALTH AND SAFETY STATEMENT AND POLICY





(BUSINESS NAME)

PART 1

HEALTH AND SAFETY STATEMENT

This is the Health and Safety Statement of _____ .

The Business conducts what it does in a way which recognises its legal obligations in protecting the environment and ensuring the health, safety and welfare of its employees and anyone who may be affected by what it does.

It encourages all those who work with it to take part in carrying out its Health and Safety Policy.

It will, so far as reasonably practicable:

- provide health and safety controls at all levels;
- comply with any legislation which applies to what it does;
- consult its employees over matters concerning health and safety;
- provide and maintain safe equipment and premises;
- ensure the safe handling and use of substances;
- provide information, instruction, training and supervision for all its employees;
- ensure that all those who work for it can safely do what they are asked to do;
- provide sufficient resources to maintain safe and healthy working conditions;
- do all that is appropriate to protect natural resources and the environment;
- review working conditions and revise this policy regularly at not more than three-yearly intervals, and whenever new equipment and/or activities are introduced.

Signed:(Owner)

Date:

Reviewed:





(BUSINESS NAME)

PART 2

HEALTH AND SAFETY POLICY

This Health and Safety Policy sets out the basis on which the Business manages its statutory obligations.

The following documents are also relevant;

(list relevant documents eg employee handbook)

These should be read together and taken into account when considering the way in which the Business meets its obligations.

(BUSINESS NAME)

PART 3

HEALTH AND SAFETY POLICY

1 ROLES AND RESPONSIBILITIES

Everyone in the Business has a role to play in ensuring that it creates and maintains a satisfactory place in which to work, a place which is safe and does not harm others or the environment.

Management of the Business

1.1 The Owner

Overall and final responsibility rests with the Owner of the Business.

1.2 The Manager

Is responsible for the management and day-to-day implementation of this Policy. The Manager has authority to stop work or any activity if health and safety standards are not being followed.

The Manager's obligations are;

- 1 To keep the health and safety records, including:
 - risk assessments and safe working procedures;
 - use of subcontractors;
 - records of all accidents, near accidents, hazard reports and cases of work-related ill health;
 - concerns raised over health and safety, and a record of action taken;
 - a record of all health and safety training of employees;
 - a record of the induction of all new employees, and to ensure that they are introduced to the safe working practices of the Business.





- 2 To discuss with employees any health and safety concerns, changes to this Policy or procedures, and to ensure staff are:
 - adequately trained;
 - aware of fire and evacuation procedure;
 - familiar with the whereabouts of first aid facilities and know who and where first aiders are.

- 3 To ensure tasks are delegated only to appropriately trained or competent people, particularly those:
 - working alone;
 - working away from the Business;
 - undertaking manual or maintenance work;
 - operating machinery or driving on business.

1.3 Nominated person

May assist the Manager in the day to day implementation of the Policy, to ensure that;

- all accidents, near accidents and hazard reports are recorded;
- accident investigations are undertaken and recorded;
- staff are told of any change in working practices;
- equipment faults are investigated and corrected;
- any concerns over work-related ill health are investigated;
- training and induction of staff is implemented;
- staff abide by their health and safety obligations, and maintain good workplace standards;
- any tasks are delegated to appropriately trained or competent people.

1.4 Staff representation and consultation

Employees will be consulted on changes of policy or procedure that affect their health and safety.

Staff representatives will be elected to assist in management communication and consultation. They will attend any discussions which include health and safety.

1.5 Employees

It is in everyone's interest to cooperate on health and safety matters and not to interfere with anything that has been provided to safeguard health and safety arrangements.

All employees are expected to comply with all aspects of this Policy. They must take reasonable care for their own safety and that of others who may be affected by what they do.





2 ARRANGEMENTS TO MAKE WORK SAFE

Thoroughbred horses in particular are inherently unpredictable. Working in close proximity to them carries the risk of injury.

Examples are:

- 1 Falls
- 2 Handling and contact with horses
- 3 Loose horses
- 4 Manual handling, in particular lifting heavy objects
- 5 Contact with plant and machinery
- 6 Slips and trips
- 7 Fire
- 8 Contact with electricity
- 9 Movement of vehicles in the workplace and car parks.

The Business will look at the risks to the health and safety of its employees and to anyone else who may be affected by what it does, and put in place measures to reduce those risks. The way in which that is done is as follows:

2.1 Specific policies

- 1 Asbestos
- 2 Driving
- 3 Environment protection
- 4 New and expectant mothers, the young and the disabled (see Welfare policy)
- 5 Personal protective equipment
- 6 Smoking alcohol and substance abuse
- 7 Visitors
- 8 Waste disposal
- 9 Working alone
- 10 Working at height

These are set out along with guidance on good working practice.

2.2 Risk assessments

To have a safe place in which to work requires the Business to assess the work employees are asked to do to find out if there is any risk in doing it. That risk has to be measured and arrangements have to be in place to manage it so that anyone asked to do the work has been suitably trained or has appropriate experience.

The findings of those risk assessments, the way in which the risk has been measured, and the safe system of work that will meet it are recorded and retained.

Actions identified in the risk assessments are, so far as is reasonably practicable, implemented and monitored so that risk is reduced to an acceptable level.

2.2.1 Delegation of work

The Business will ensure that anyone asked to undertake the work has the necessary training or experience.





2.3 Subcontractors

Subcontractors may be appointed to undertake specific work, but in doing so the Business does not avoid its health and safety responsibilities. The Business should satisfy itself prior to their use as to their experience, ability and whether or not they are insured.

2.4 External advisers

The Business may enlist the services of specialist external health and safety consultants to assist in specialist areas of health and safety to fulfil its needs for appropriate, competent or responsible persons where required by law, and where no-one within the Business can fulfil that role.

The following external advisers are presently retained where there is no internal resource:

Health and Safety Management/Advisor: (Name, contact details)

Fire extinguishers: (Name, contact details)

Electrical: (Name, contact details)

Asbestos: (Name, contact details)

2.5 Induction and Training

The Business will provide training in health and safety matters to all employees.

It will ensure that employee health and safety induction is undertaken, which will include reference to this Policy document. The induction will be acknowledged by signature by the employee, and retained by the Business.

2.6 Safe equipment, premises and machinery

All equipment and machinery requiring maintenance will be identified, effective maintenance procedures drawn up and such procedures will be implemented, recorded and monitored. All machinery and equipment will comply with the health and safety Policy of the Business.

2.7 Safe handling and use of substances

All substances which need assessment for the Control of Substances Hazardous to Health (COSHH) will be identified and the results of such assessments notified to employees. The Business will ensure that such substances are used safely and that their use is reviewed and recorded.





3 ACCIDENTS, EMERGENCIES, FIRE AND EVACUATION, FIRST AID AND WORK-RELATED ILL HEALTH

3.1 Accidents

All accidents which are notifiable under RIDDOR (Reporting of Injuries Diseases and Dangerous Occurrences Regulations) will be recorded in the Accident Book and reported following the correct reporting procedure.

All other accidents, near accidents and cases of work-related ill health will be recorded in the accident book. The accident book will be analysed to identify signs or trends, and action taken where immediately necessary to prevent reoccurrence where possible.

3.2 Emergencies

In an emergency, the priorities are;

- 1 to ensure the safety of yourself and others;
- 2 to ensure the safety of the horses;
- 3 to minimise damage to buildings and machinery.

3.3 Fire

In the event of fire;

- 1 raise the alarm;
- 2 dial 999;
- 3 direct all persons to fire assembly points.

Do not put yourself or others at risk. If in doubt, get out.

If you hear the fire alarm sound;

- 1 switch off any machinery you are operating, unless instructed otherwise or it puts you or others in danger;
- 2 evacuate through the nearest clear external exit;
- 3 walk, do not run, to the nearest fire assembly point or to a location as directed;
- 4 do not return for personal belongings;
- 5 be ready to report your name when you reach the fire assembly point.

In the event of a minor fire use the appropriate fire fighting equipment.

DO NOT USE WATER ON ELECTRICAL FIRES.

Do not continue to fight a fire if;

- 1 it continues to grow;
- 2 it becomes too dangerous;
- 3 there is any possibility of the evacuation route being cut off;
- 4 you have not been trained to use fire fighting equipment.

All employees are responsible for ensuring that fire escape routes and access for emergency vehicles to the premises are kept clear of obstruction at all times.

The Business acknowledges the risk to humans and animals that may arise from fire. To meet and address that risk it has appointed the Manager as the person responsible. They will carry out risk assessments and regularly check general fire safety





Horses are normally terrified of fire and smoke and tend to panic. This is an added reason to be aware of the risks and know the drill.

Regular fire practices will take place and all employees are obliged to co-operate in these.

An evacuation for any reason other than fire will follow the same procedures outlined above.

3.4 First aid and work-related ill health

The Business will complete a first aid needs assessment and ensure that sufficient first aiders are provided. A list of trained first aiders and the location(s) of the first aid box(es) will be displayed where it can be seen by all, and audited annually.

The Business will recognise and take appropriate action in respect of work-related ill health, and keep a record.

Any concerns over work-related ill health will be reported to the Manager.

4 MONITORING

The Business will:

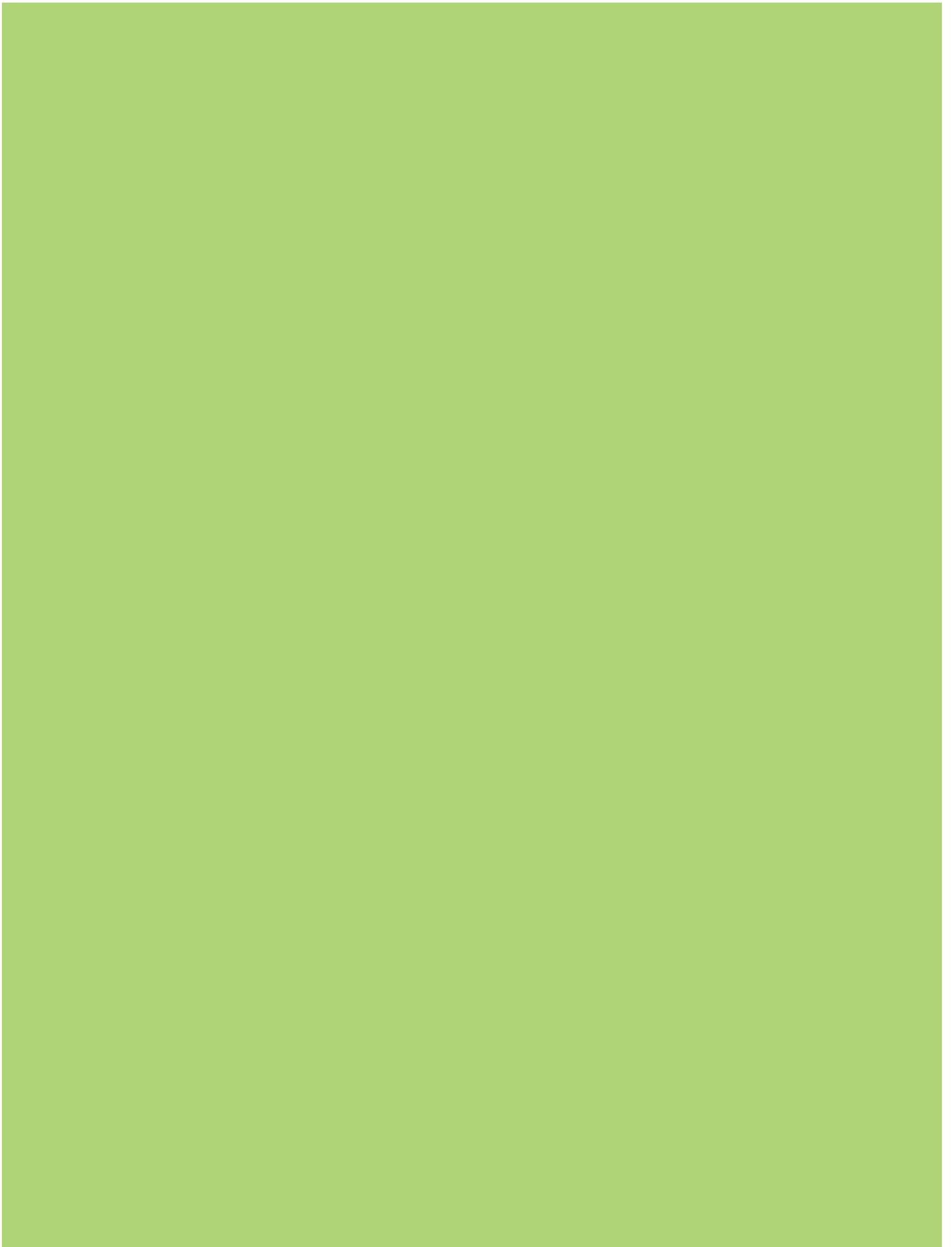
- 4.1 make sure that it is doing all it can to fulfil this Policy;
- 4.2 ensure that opportunity is given to raise and discuss any concerns about health and safety;
- 4.3 ensure that a record of those concerns is retained.

5 REPORTING CONCERNS

To express in confidence any concerns about health and safety please contact the Manager.



Risk Assessments



RISK ASSESSMENTS

Managing the hazards and risks in your workplace

- As trainers or stud managers, you are already using 'management systems' to ensure that your horses stay healthy, that they attain a standard that you and their owners expect and thus enable you to stay in business. Every day you are planning, controlling and evaluating the different aspects of your yard or stud and its staff.
- Managing health and safety is no different - you need to manage it to ensure that you, your staff and any visitors are kept safe when at work. Simply put, everyone has the right to go home as healthy and as safe as when they arrived for work!
- One element of your management of health and safety is controlling risks in the workplace. The Management of Health and Safety at Work Regulations 1999 contain the requirement to carry out a 'suitable and sufficient' general assessment of risk. You must therefore assess the risks arising out of your work activity or workplace conditions to which employees, self-employed persons and others, such as visitors and contractors, are exposed.
- Identifying hazards and assessing the risks they create is essential for good management (not to mention required by law!). Unless you know what hazards exist on your premises, and the scale of risk they present, you cannot know whether they need to be controlled or decide how they should be managed. Risk assessments should be carried out by a 'competent person', that is someone with the necessary skills, information, training, industry knowledge and experience, plus other qualities required to perform a suitable and sufficient assessment of the risks. They will also require a system, such as this one, to work to and adequate time in which to perform the task.
- This assessment of risk is nothing more than a careful look at what in your business could cause harm to people. You will need to decide what measures you should take to comply with your legal duties, including the Health and Safety at Work Act 1974 and the more specific duties elsewhere (such as welfare conditions etc.). Once you have decided the level of risk, you need to put in place necessary preventative and protective measures.



REMEMBER

- A 'hazard' could be unsafe activity or an unsafe condition - anything that can cause harm (eg. riding out, grooming, damaged tack, chemicals, electricity, lifting heavy bales/muck sacks etc.)
- 'Risk' is the chance (big or small) of harm actually being done.
- Your knowledge of what goes on at the yard or stud is essential to making a useful assessment
- Assessing risks is not an end in itself. The objective is to consider what protective measures are needed and to act to put them in place.



This process is known as 'risk assessment' and, essentially, your yard or stud's working procedures should reflect your risk assessments. Risk assessment is a mental process: you need to think about what you do and how to do it safely. Don't be put off by the phrase, it's just about carrying out the following steps:

1. Look for the hazards
2. Decide who might be harmed and how
3. Evaluate the risks arising from the hazards and take action to reduce or control them
4. Record your findings i.e. what you are going to do to control the risks
5. Review your assessments and revise if necessary i.e. if you have reason to believe that they are no longer valid (after an accident?) or there has been a significant change in the activity, conditions or personnel.

Step 1: Look for the hazards

- Look around the workplace and watch how people work
- Use your experience of the industry - records of past incidents, accidents, health problems and near misses should help
- Ask staff what they think - they may be aware of hazards that you are not
- Read manufacturers' instructions and other information, including Industry / HSE guidance

The aim is to spot significant hazards. Every operation is different and what you consider significant at your yard or stud needs to be taken into account. There is no dividing line between what is and isn't significant - you must decide relative to your workplace.

Trivial risks, or those parts of everyday life, such as tripping over the step into the yard office or using solvent-based correction fluid in the office can be ignored.

Step 2: Decide who might be harmed and how

Identify the people who could be harmed, and how many: eg employees (particularly new or untrained, casual or part-time staff), contractors, visitors, members of the public and family - especially children.

Step 3: Evaluate the risks arising from the hazards and take action to reduce or control them

- Plan what needs to be done and when
- Make your plan realistic and achievable
- Tackle the most important problems first





THINK

- What would be the worst possible consequences of an accident involving that hazard?
- Could the hazard be eliminated? Is the job necessary, or could it be changed to make it safer? (eg do staff have to negotiate steps in order to reach the muck heap? Could it be moved and barrows used instead of sacks?)
- If the job cannot be eliminated or modified, how can it be made safer? (eg ensure that staff have manual handling information and training so as to carry loads correctly).
- What training and supervision is needed?
- Are any staff ignoring safety rules, thus putting themselves or others at risk?
- Is there a need for additional training such as manual handling, first aid etc?
- Do you need to provide additional personal protective equipment (PPE)? eg masks for dusty environments / fluorescent tabards for riding out on dark mornings etc.

Step 4: Record your findings

If you have five or more individual employees, full time or part time, you must record the significant findings of your risk assessment stating what you will do to control the risk eg. yard/stud rules, systems of work, procedures and what you need to do to make the workplace safe.

Risk assessments can be written in a number of different ways. Some people like to use columns for each of the five steps whilst others write a paragraph or two for each assessment and form a list of yard safety rules. What matters is that it has a clear outcome stating what you mean to do.

BUT it is important to understand that an HSE Inspector's primary concern is that you have thought about the hazards and risks and acted upon your conclusions. The documentation is there as supporting proof. It is also invaluable for instructing staff on the work systems in place at your yard or stud.

Many employers with four or fewer staff prefer to record their findings. This shows that the assessments have been carried out, and can be used to give to new staff.

You have now completed a risk assessment!

Step 5: Review and monitor your assessments and revise if necessary

You will need to review your assessments (and your rules and procedures) to reflect any changes to the task concerned or in respect of any equipment used. Review will also be needed if there have been any significant changes to the person doing the job - for example if the job holder becomes pregnant, or disabled in any way.



Remember

If any of your staff repeatedly ignore the laid down safety rules of the workplace, for instance, if they undo the skull cap chin strap while still on horseback, this could be regarded as a disciplinary issue and in some cases failure to comply with your health and safety rules could amount to gross misconduct. For your own protection, you should note the occasions when warnings have been given and follow appropriate disciplinary proceedings if issuing formal warnings or considering dismissal.





New or expectant mothers require a further specific assessment of risk to be performed. This must take into account the additional risks posed by work practices, conditions or physical, chemical and biological agents. If risks cannot be controlled in other ways, you would need to consider altering working conditions, hours of work or activities carried out. In extreme cases, suspension on full pay might be called for. You may also need to seek medical advice.

A further group requiring specific risk assessment is that of young persons (under the age of 18). This assessment would involve looking at the existing risk assessment and seeing if any further actions are required in order to take into account the inexperience, immaturity and lack of awareness of risk etc. If the person is under minimum school leaving age, the assessment must be communicated to their parent or guardian.

Yet another aspect of risk assessment covered within the Management Regulations is that of fire. (Following the example risk assessment form, is a section regarding fire risk).

Other Legislation

Other legislation that specifically requires risk assessment is as follows:-

The Manual Handling Operations Regulations 1992 - requires the assessment of activities that involve a risk of injury where these cannot be avoided altogether (more later);

The Personal Protective Equipment at Work Regulations 1992 - to determine whether the PPE is suitable for the risks that cannot be avoided by other means (more later);

The Health & Safety (Display Screen Equipment) Regulations 1992 - to assess work-stations for health and safety risks to which users/operators are exposed;

The Control Of Substances Hazardous to Health (COSHH) Regulations 2002 - to identify risk in order to determine the measures to be taken to prevent or control exposure (more later);

The Control of Asbestos Regulations 2006 - to identify the presence and type of asbestos and the degree of exposure and reduce said exposure to as low as is reasonably practicable;

The Control of Lead at Work Regulations 1998 - to assess whether exposure of employees is liable to be significant.

The Noise at Work Regulations 2005 - to assess noise levels where it is suspected that they may reach certain levels eg the use of machinery.

More details on these regulations can be down-loaded from the HSE website or by obtaining relevant guidance from HSE Publications.

Manual Handling

This is one of the highest risk areas, whilst most injuries affect the back, upper and lower limbs are also at risk.

Manual handling covers the lifting, carrying, pulling and pushing of items at work. All objects that are moved in these ways are included, whatever their size or weight, though there is clearly a greater risk from moving heavier or bulkier items. When conducting assessments, there are four main factors to consider, the TASK; the INDIVIDUAL; the LOAD and the ENVIRONMENT (the TILE principle). It is possible to conduct generic assessments i.e. those that are common to most employees, activities and sites, though these must of course be relevant to the people, conditions and circumstances involved. They must also identify all hazards and the control measures required to minimise risk, (see the BHA, NTF and TBA websites to download the HSE recommended Manual Handling Chart MAC).





The guidelines for manual handling suggest that in the first instance, it should be avoided altogether i.e. by mechanical means. Where this is not possible, other controls need to be applied, such as reducing the load or two-man lifting. A typical example in the horse-related industry would be by using a wheelbarrow instead of a muck-sack when moving waste to the muck pit or trailer. Don't forget to risk assess this new activity however!

Some particularly hazardous activities include twisting and stooping, carrying long distances, unpredictable loads, repetition and a fast work-rate. A free publication INDG 143 (rev 2) is available from HSE Books.

The key point is that you need to consider the possibilities, and make your decision accordingly.

Personal Protective Equipment (PPE)

A skull cap has to be worn at all times when mounted. This is required for all staff in licensed trainers yards under BHA Rule (C)25. The criteria for skull caps for use when riding are set out in Schedule (D)2 of the Rules of Racing.

It is a minimum requirement that any person mounted on a horse in the trainer's care in their capacity as a trainer must be wearing personal protective equipment (a safety vest/skull cap etc) which conforms to the requirements of the BHA's Rules of Racing. The risk assessment concerning the riding of horses should take account of both the activity and the ability of the rider when choosing the appropriate safety vest. The criteria for safety vest and skull caps is set out in the Rules of Racing and can be found on the following link:

<http://rules.britishhorseracing.com/Orders-and-rules&staticID=126146&depth=3> and is subject to change from time to time.

If considered appropriate, it is also advisable that skull caps and safety vests are worn for clipping, leading, long-reining, stalls practice, lungeing, loading, teasing or working in the covering barn. The wearing of protective foot wear may be considered for many activities carried out on a stud.

The question of what other PPE should be provided arises directly from your Risk Assessments. For example, you might consider that goggles should be worn by riders using an all-weather gallop. Your opinion might be affected by experience - if you have witnessed a rider suffering an eye injury caused by kick back, you might decide that goggles should always be worn in these circumstances. If so, you are required to provide the relevant equipment free of charge. However, should you consider that the risk is negligible, you may decide that goggles are unnecessary for riding out. The same principle applies to any other relevant personal protective equipment or clothing, including items that may be needed for non-equine related activities e.g. the use of machinery, pesticides or ATV. A detailed list is shown in the PPE section.

The key point is that you have to consider the possibilities and make your decision accordingly.

An example risk assessment form devised by the HSE is included in this section, but you can record your findings in whichever way is best for you and your staff. Additional sample Risk Assessment forms for Manual Handling and COSHH are available on the BHA, TBA and NTF websites.





Hazards From Substances

Many substances that are safe to use as instructed and/or with the appropriate PPE can cause significant damage to the human body if used incorrectly or without the correct protection, or if spilled accidentally. Exposure to certain substances can cause immediate and obvious injury eg corrosive burns to the skin, or might cause longer-term disease eg eczema. Alternatively certain conditions may result from repeated exposure eg asthma from dusty straw.

As with risks from specific activities or machinery, risks from substances need to be assessed, but they are called something different! A set of Regulations called the 'Control of Substances Hazardous to Health Regulations 2002, known as COSHH for short, sets out what is needed. These are normally referred to as COSHH assessments.



Within your COSHH assessments, you should take into account:

- The hazards of substances or their ingredients - read the labels and any safety data sheets provided by the supplier (they are required by law to supply these when requested to do so)
- Any possible route into the body (breathed in, swallowed or absorbed through the skin) and the worst consequences
- The concentrations likely to cause ill health
- The symptoms of over-exposure
- Who could be exposed
- How often people work with the substance and for how long
- 'Unplanned-for' exposure such as spillages etc.
- Storage of chemicals/medicines
- Adequate washing facilities, especially when smoking, eating or drinking after handling harmful substances





ALSO REMEMBER

- Ask yourself, can you eliminate the use of a harmful substance or substitute a less harmful alternative? PPE (masks / gloves etc.) should be a last resort. Any PPE used should be suitable for the job - check with your supplier.

Sample Product Safety Data Sheets are available on the BHA, NTF and TBA websites. All potentially harmful substances should include something similar in the packaging. All Product Safety Data Sheets should be retained to be referred to when conducting your risk assessments or for First Aid purposes.

The end result should be some simple rules such as:- wear gloves and goggles when handling these chemicals.

A Helpful Reminder

The following are examples of activities, conditions and substances which you should take into account when carrying out your assessments, though this list is not exhaustive. Some of these will seem obvious, but the experience, skills and competency of staff should be considered in connection with every activity.

Take a walk round your yard or stud to see what risks and hazards can be identified. In case you think you might be too familiar with the set up to spot every possible danger, you could take another person with you to act as a fresh pair of eyes!





Examples of Activities, Conditions and Substances

General

Activity	Things to consider
Mucking out	manual handling/dust
Grooming	safety in boxes/temperament of horse/equipment
Feeding	temperament of horse
Schooling	condition of protective equipment/tack/state and situation of ground
Jump Schooling	condition of protective equipment/tack/state and situation of ground
Lungeing	condition of protective equipment/tack /staff head protection
Starting stall practice	condition of protective equipment/tack/staff head protection
Horse-walkers	trapping points/electricity
Clipping	condition of protective equipment/electricity/staff head protection
Pools	competency of staff/number of staff etc.
Riding Out	condition of ground/traffic/high visibility clothing, competence of rider/route taken
Horses on box rest	potential behaviour/handling
Horseboxes	vehicle movements/vehicle access routes/loading/unloading and weather conditions.
Breaking horses in	temperament/age, competency of staff/appropriate equipment.
Horses at Stud	
Stallions	temperament of horse/staff PPE/competency of staff
Covering/teasing	temperament, status of horses/staff PPE/competency of staff/ correct procedures
Foals/yearlings	temperament/age/inexperience of horse/staff PPE
Restraining horses	temperament of horse/appropriate equipment/staff PPE/ competency of staff
Sales work	sales environment/ temperament/age/experience of horse
People	
Assisting the vet	safety of medicines/disposal/needles
Farriery	storage of gas bottles/protective equipment
Farm equipment	guards for dangerous parts/safety devices/maintenance of machines/tractor safety/grass cutting.





Office health and safety	work stations/seating/lighting
Lone Worker Working outside	risk above average when eg riding out, handling horses or machinery alone exposure to sun - skin protection/dehydration/extreme weather conditions
Young people, inexperienced and vulnerable adults	experience/physical and emotional maturity/supervision/lone working
New and expectant mothers	health issues/physical ability/expected confinement date/history, prohibitions i.e. chemicals; lone working.
Quad bikes	rider training/helmets/maintenance/security and accessibility

Substances (COSHH)

Fuels and additives	diesel/antifreeze
Fertilisers	storage and use
Dusts	powdered chemicals/hay and straw
Disinfectants	storage and use/application
Veterinary items	storage/use/disposal
Horse care items	storage/use/disposal
Chemicals	weed killer and pesticides/vermin control products.

Premises

Electrical	fixed wiring in yards and boxes/portable equipment checks portable equipment such as pressure washers and clippers/overhead power lines.
Gas	serviced equipment/leaks etc
Asbestos	location/type/managing ongoing risk
Uneven surfaces	trips and slips/falls
Ramps	ice/water/damaged
Fences	damage/nails exposed etc
Muck Pits	railings/fall prevention etc
Accommodation	safe and secure/fit for purpose/serviced supplies/fire detection, gas safety checks and certificates, means of escape
Storage areas	bale and fertiliser stacks
Severe weather conditions	ice/snow/flooding/wind and debris
Arenas	construction and maintenance





RISK ASSESSMENTS

SUMMARY

- 1 A Risk Assessment is needed for any activity involving a significant hazard.
- 2 Risk Assessments should be recorded if you have five or more employees.
- 3 If you have fewer than five employees, it is good practice to have your Risk Assessment in written form, to provide documentary evidence that you have been through the risk assessment process.
- 4 All yards or studs should display written fire instructions.
- 5 Your work systems should reflect the findings of your Risk Assessments.
- 6 Risk Assessments should take into account all people who might be subject to the particular hazard.
- 7 Skull caps, safety vests and other personal safety equipment has to be supplied free of charge as Personal Protective Equipment. Skull caps should be worn correctly fastened, at all times when riding. Safety vests should also be fitted correctly and worn at all times whilst mounted. Skull caps and safety vests should conform to the criteria laid down by the BHA Rules of Racing
- 8 Your decision as to what other Personal Protective Equipment should be provided will arise from your Risk Assessments.
- 9 Special attention has to be paid to substances that could be harmful to health.
10. Manufacturers' guidelines on the use of substances should be retained.



Example Risk Assessment Form

All employers must conduct a risk assessment. Employers with five or more employees have to record the significant findings of their risk assessment.

This sample risk assessment form comes from the HSE website. It has been started by including a sample entry for a common hazard to illustrate what is expected. Look at how this might apply to your business, continue by identifying the hazards that are the real priorities in your case and complete the table to suit.

You can download, print and save this template from the HSE website so you can easily review and update the information as and when required. You will also find example risk assessments on the site at www.hse.gov.uk/risk/casestudies/. Simply choose the example closest to your business.

Organisation name: (Business name)

What are the hazards?	Who might be harmed and how?	What are you already doing?	Do you need to do anything else to manage this risk?	Action by whom?	Action by when?	Done
Handling mares at teasing	Staff may be harmed by being kicked, bitten or trodden on by the mare	Experienced employees handle mares at teasing. New and inexperienced employees receive training before handling mares at teasing. The teasing procedure is followed by all staff. All employees wear appropriate PPE.	Ask mare owners for information on behaviour at teasing – to be relayed to staff	Stud groom to action	01/02/2014	
Loading horses into a horsebox or trailer	Staff may be trodden on, kicked or bitten by horse being loaded. Staff may be struck by the loading ramp	Experienced staff used to load horses into horsebox or trailer. New and inexperienced staff to receive training before loading horses. Staff to wear appropriate PPE. Horses to wear appropriate tack when being loaded.	Consider the temperament of the horse, use a loading bay if available. Understand how the horsebox works ie securing/moving partitions, opening/closing the ramp	Manager or Nominated Person		

Employers with five or more employees must have a written health and safety policy and risk assessment. It is important you discuss your assessment and proposed actions with staff or their representatives. You should review your risk assessment if you think it might no longer be valid, eg following an accident in the workplace, or if there are any significant changes to the hazards in your workplace, such as new equipment or work activities.

Risk assessment review date:

Risk assessment template published by the Health and Safety Executive 11/11



FIRE

A Risk Assessment covering fire hazards is now required for all workplaces. Your premises no longer requires a fire certificate.

Further information on the Regulatory Reform (Fire Safety) Order 2005 can be found at www.communities.gov.uk including a series of guides relevant to workplaces. Whilst this legislation applies to England and Wales, similar requirements will apply to Northern Ireland and Scotland respectively.



Your fire risk assessment should take into account:

- The size and layout of the workplace
- The work activity undertaken
- Any equipment or substances being stored
- The number of people likely to be present at any one time, including disabled persons, those with other special needs and visitors

You should make arrangements for:

Consulting

The workforce about the arrangements in place

Fire fighting equipment

MUST be easily accessible
MUST be labelled, showing the extinguisher type and suitability / operating instructions / 'in date' annual test record
 Fire smothering blankets are also recommended and are particularly useful in kitchens / rest rooms where hot food is prepared

Trained nominated persons

To undertake special roles such as Fire Wardens or how to operate the fire fighting equipment

Emergency routes and exits

MUST be clearly indicated
MUST be free from obstructions
 Should be lit where necessary
 Where possible, should lead directly to a place of safety

Evacuation

You **MUST** have a clear procedure for people and horses

Fire Instruction Notices

Instructions on what to do in the event of a fire **MUST** be displayed on the notice board and / or elsewhere, including emergency contact numbers
 Any signs displayed should comply with safety sign size, shape and colour requirements - ask your supplier





Training for staff

All staff **MUST** be trained on all these points
All staff **MUST** know how to raise the alarm

Fire Drills

MUST be practised at least annually, preferably six monthly. It is not necessary to actually sound the alarm which might upset the horses. Try placing obstacles in the way to represent fire spots to make the drill as realistic as possible Records of dates/time/persons present **MUST** be kept

Example fire instructions/drill sheet plan follow.





Example Fire Instructions

WHAT TO DO IN CASE OF FIRE

1. If you discover a fire, RAISE THE ALARM, by
 - a) shouting "Fire", and
 - b) operating the nearest Fire Alarm.
 - c) go to the fire assembly point.

2. If you are in the vicinity, go to the assistance of the person who has raised the alarm.

3. **CALL THE FIRE BRIGADE IMMEDIATELY ON 999**

This must be done however small the fire may appear.

One person must be delegated to call the Fire Brigade

Do not forget to give the address and directions.

(Insert full address of premises and directions and if appropriate, grid reference - this will help in case of panic)

4. If appropriate and a properly trained person is available, attack the fire using the appliances available.

DO NOT JEOPARDISE YOUR OWN OR ANYONE ELSE'S SAFETY.

5. All other persons must follow the agreed procedure (insert your own plans here) for evacuation of people and horses. Remember that visitors will not know what to do. If at night, get dressed quickly first, but do not stop to retrieve belongings. Remember to close doors behind you.

When the Fire Brigade arrives, the senior member of staff present should report to the officer in charge. He/she must report correctly the location of the fire and whether or not all persons are accounted for.

YOUR FIRE INSTRUCTIONS MUST BE POSTED ON THE STAFF NOTICE BOARD

YOUR EVACUATION PLANS NEED TO COVER ANY HOSTEL OR HOUSE AS WELL AS THE STABLE YARD/STUD

YOUR EVACUATION PLANS HAVE TO COVER ALL EVENTUALITIES, NIGHT AND DAY

NB. Training is available in the use of fire extinguishers from your local fire brigade or your supplier.





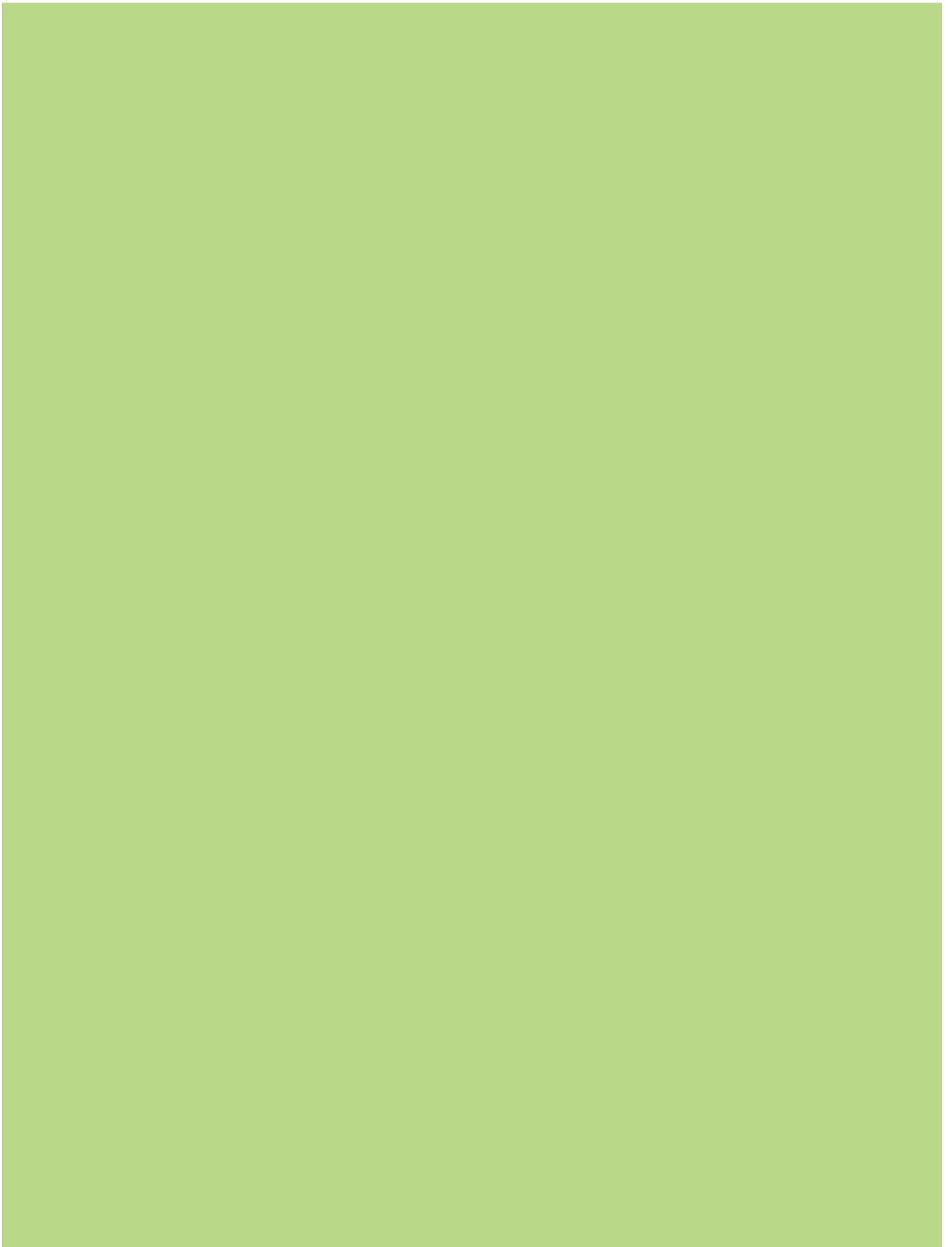
Example

FIRE DRILL RECORD SHEET (to be carried out once/twice a year)		
DATE (names/signature)	CARRIED OUT BY (names/signatures)	ATTENDED BY





Induction and Training





INDUCTION AND TRAINING.

It is a legal requirement that all employees be given the training necessary to ensure that they can carry out their jobs in a reasonably safe manner and environment.

All new employees or learners/trainees, whether experienced in the racing and breeding industries or not, should receive basic health and safety training at the new place of employment or learning. This process is termed "induction training".

INDUCTION FOR NEW EMPLOYEES

Clearly, the amount of instruction required will depend on an individual's experience and competence. However, employers are advised not to make assumptions about the extent of an employee's skills and knowledge and to ensure the following:

- (i) formal appraisal of the various competencies, including where appropriate riding ability, and special skills required of all new employees, and
- (ii) that induction training has been carried out.



Safety training should be given:

- To all new employees
- When an employee changes his/her job or responsibilities within the workplace
- When new equipment or new technology is introduced, or when existing equipment is significantly modified
- When a new system of work is introduced



Introduction training should include:

- Explanation of the yard or stud's Health and Safety Policy
- Safe working procedures and instruction on equipment to be used
- Manual handling
- Issue and use of protective clothing
- Fire procedure, location and use of fire fighting equipment
- Location of first aid boxes and explanation of the first aid arrangements
- Accident and incident reporting
- Any other job specific issues





Training should be carried out during normal working hours, but, if this is not possible, any additional hours used for training should be considered as time at work. Once completed, a record of each individual's induction training should be filed.

It is important to monitor the effectiveness of the health and safety regime and refresher training should be given where appropriate. Also, some tasks require additional training and certification, for example, using tractors, chainsaws and applying pesticides. The local HSE office should be contacted for advice.

NON ENGLISH SPEAKING EMPLOYEES

Non English-speaking employees, or those with a limited understanding of English should be provided with information in a language they can understand and may require increased levels of instruction, training and supervision.



INDUCTION OF YOUNG PERSONS

A young person is defined as any individual who has not yet reached their 18th birthday. Additional regulations apply to the employment of young people. Employers should take the following into account:

- Inexperience and immaturity
- Possible lack of awareness of risks and hazards
- The extent of training already received
- The supervision available (some jobs require very close supervision)
- Physical strength
- Existing risk assessments (some jobs may be considered beyond the capacity of a young person)
- Exposure to biological, chemical or physical agents

See also Appendix 2, Working Time Directive





PROTECTION OF YOUNG PERSONS AND LEARNERS/TRAINEES AT WORK

Government-funded education and training schemes require a contract between the employer, the learning/training provider, e.g. the British Racing School, the Northern Racing College, The National Stud or any other BHEST approved learning/training provider, and the appropriate Government funding agency. An essential part of that contract is health and safety compliance.

The government funding agencies are responsible for ensuring that the health and safety systems of learning/training providers are adequate. They require learning/training providers to assess the suitability of individual yards and studs before placing learners/trainees.

The checks that must be carried out are illustrated in the induction checklist that follows.

If health and safety assessment is not carried out rigorously and written down, government funding could be withdrawn.

In addition, effective health and safety is a key part of ensuring young people are protected in the work place which supports effective safeguarding practice. Safeguarding young people is an important activity that helps protect you from allegations of poor practice and abuse.

LEARNERS/TRAINEES ON GOVERNMENT FUNDED EDUCATION AND TRAINING SCHEMES

The checks that must be carried out are as follows:

1. Health and Safety Policy
2. Risk Assessments
3. First Aid, Accidents and Incidents
4. Supervision, Training, Information and Induction
5. Safety Equipment and Machinery
6. Personal Protective Clothing and Equipment
7. Fire and other Emergencies
8. Safe and Healthy Working Environment
9. Health and Safety Management
10. Management of Learners'/trainees' Health, Safety and Welfare
11. Accommodation (where provided by the employer, is suitable and safe).





EXAMPLE INDUCTION CHECKLIST

TOPIC	ACTION	COMMENTS	COMPLETED
Health and Safety			
1. The employer's legal responsibilities	The employer has to provide staff with a safe place of work.		
2. The employee's responsibilities	To take care of the health and safety of themselves and other people who may be affected by their actions. To co-operate with the employer to minimise the risk of an accident.		
3. Risk assessments (i.e. potential hazards)	Explain the risk assessments (including COSHH) which have been done on the activities carried out and the equipment used on the yard/stud.		
4. Control measures and H & S policy	Explain measures that have been put in place following the risk assessments.		
5a. Safe working procedures	Explain yard/stud practices.		
b. Safe use of equipment	Explain yard/stud practices.		
c. Fire drill, evacuation procedures, location and use of fire fighting equipment	Explain yard/stud practices.		
d. Notices	Read policy on notice board.		
e. Personal behaviour	Explain yard/stud rules on smoking, drink, drugs.		
f. Reporting of faulty equipment	Explain yard/stud practices.		
g. Disciplinary matters	Explain yard/stud practices.		





6. Accidents	Where to record an accident or injury, who to inform, what forms to fill in e.g. yard/stud accident book.		
7. First Aid	Location of first aid equipment, identity of qualified First Aiders.		
8. Supervisor	Identity of their supervisor while at work.		
9. Manual handling	Explain the importance of and demonstrate safe lifting techniques.		
10. Personal protective clothing	Skull cap & safety vest provided or check, footwear etc. Where own equipment is provided, check and record in serviceable condition.		
11. Restricted areas and/or operations and/or machinery	Identify any areas they are not allowed to enter, tasks they must not do or machinery they must not operate.		
11. Welfare arrangements	Location of facilities etc.		
12. Other			

EMPLOYER'S SIGNATURE:

DATE:

EMPLOYEE'S SIGNATURE:

DATE:





EXAMPLE

NEW EMPLOYEE ASSESSMENT

I,(name of employee) have discussed with(name of employer) my experience in the Racing/Breeding Industry as noted below:

Experience		
Assessment by Employer		
Does the employee have any health conditions which have implications for the health and safety of the employee or his/her colleagues. Any information will be treated as sensitive data.		

Signature of employeeDate

Signature of employeeDate





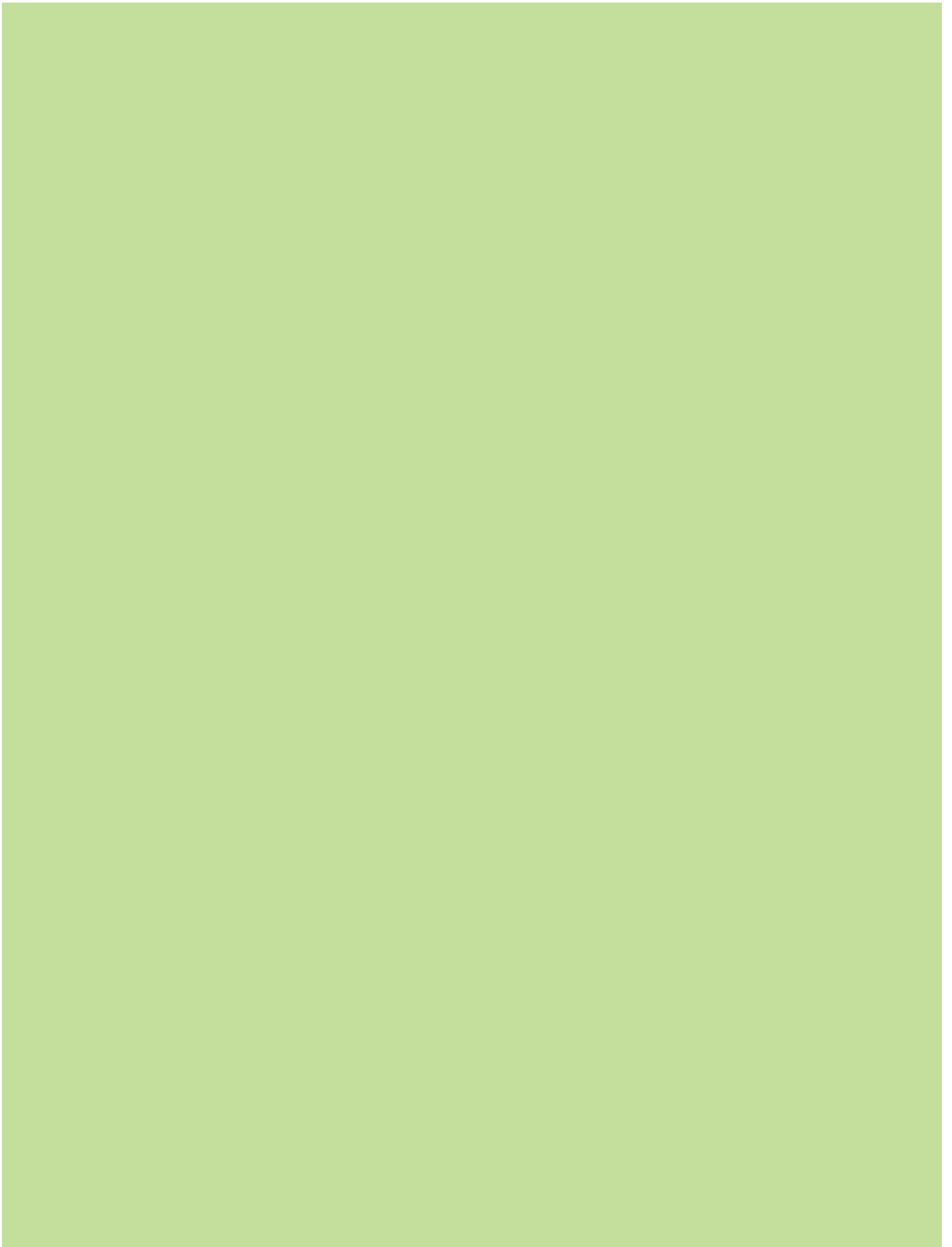
HEALTH AND SAFETY INDUCTION AND TRAINING SUMMARY

1. All new employees and learners/trainees have to be given induction training prior to commencing work or training as soon as practical after they have started their employment or work placement.
2. The competence of new employees and learners/trainees should be assessed when they take up their new post. A record should be kept of that assessment (see attached example).
3. As a minimum, induction training should include an explanation of:
 - The yard's or stud's individual Health and Safety Policy
 - The HSE legal notices and where to find them
 - The identity of supervisors and persons to approach for advice
 - The welfare arrangements
 - The employee's or learner's/trainee's responsibilities
 - All potential health and safety hazards and the appropriate control measures ie risk assessments
 - The proper and safe use of equipment needed in the job and the reporting of faults
 - The emergency procedures eg fire evacuation
 - The reporting of accidents (RIDDOR), including completion of the workplace accident book
 - The first aid arrangements, including the identity of trained personnel and the location of first aid boxes
 - Disciplinary, grievance and complaints procedures and personal behavioural standards
4. A record should be kept of the induction training programme given to each new employee, learner/trainee.
5. Workers whose first language is not English should be given adequate instruction in a language they can understand.
6. Employers should also take into account any requirements relating to young people.





Guidelines on Good Working Practices, Specific Legal Policies and Sample Documents





GUIDELINES ON GOOD WORKING PRACTICES, SPECIFIC LEGAL POLICIES AND SAMPLE DOCUMENTS

Consider the relevance of each to your business and include those duly completed, with your Health and Safety Statement and Policy document. All documents are available for download from the BHA, TBA and NTF websites. Those that are a legal requirement as marked with 

KEY	 Guidance	 Sample	 Specific legal policy
1.	Accident reporting, including RIDDOR		
2.	Accidents on the gallops, procedure		
3.	Asbestos (see also Welfare)		 
4.	Chemicals and fluids under pressure		
5.	Driving		
6.	Electrical safety		 
7.	Environment and premises (see also Waste)		  
8.	Fire - General safety (see also Risk Assessments)		
9.	First Aid		
10.	Horse management		 
11.	HSE Publications		
12.	Insurance		
13.	Machinery and equipment		 
14.	Mobile phones		
15.	Office		
16.	Personal protective equipment		 
17.	Poor visibility		
18.	Safe use of All Terrain Vehicles, tractors		 (ATV)  (Tractors)
19.	Smoking, alcohol and drugs: (see also Welfare)		
20.	Tack and saddlery		
21.	Veterinary medicines and material		
22.	Visitors		
23.	Waste disposal and carcass removal		
24.	Welfare		 
25.	Working alone		
26.	Working at height		
27.	Young People (see also Induction and training) and the disabled		





SECTION 1 - ACCIDENT REPORTING (INCLUDING RIDDOR, DANGEROUS OCCURRENCES AND DISEASES)

Guidance

RIDDOR

RIDDOR stands for the "Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995", otherwise known as RIDDOR 95. Under these Regulations, employers (or the person in control of the premises) are legally required to report to the HSE if an employee has suffered any of the following while at work:

- Death or specified injury
- Injuries resulting in more than seven days off work
- Disease arising from a work activity
- Dangerous occurrence

If you are self-employed and are working in someone else's work premises and suffer either a major injury or an over-seven-day injury, then the person in control of the premises will be responsible for reporting, so, where possible, you should make sure they know about it.

If there is a reportable accident while you are working on your own premises or in domestic premises, or if a doctor tells you that you have a work-related disease or condition, then you need to report it.

More explanation on each of these categories is given below.

Reporting System eg Head Lad/Lass.

All accidents at work need to be **reported** to a responsible person e.g. the Head Lad, Assistant Trainer, Trainer, Stud Manager or the Secretary. A written record has to be kept of all accidents causing personal injury. You are also advised to record near accidents.

This record can be kept in any form, but the best option is to use a formal accident book, which, if you are an employer, you must keep under the Social Security (Claims and Payments) Regulations 1979, Accident books can be obtained from office suppliers, or in a loose-leaf file using HSE approved pre-prepared forms, and must comply with Data Protection legislation.



However you choose to keep your records, the following information is needed:

- Date and time of accident
- Full name of person(s) involved
- Occupation of person(s) involved
- Nature of injury or injuries
- Place where the incident occurred
- Brief description of circumstances of incident
- Date when incident was reported to the HSE and (if applicable) to the learning/training provider
- Method by which incident was reported





What needs to be reported to HSE?

Deaths and injuries

If someone has died or has been injured because of a work-related accident this may have to be reported. Not all accidents need to be reported, other than for certain gas incidents, a RIDDOR report is required only when:

- the accident is work-related
- it results in an injury of a type which is reportable

Types of reportable injury:

- The death of any person
All deaths to workers and non-workers, with the exception of suicides, must be reported if they arise from a work-related accident, including an act of physical violence to a worker.
- In cases of death or major injuries, you must notify the enforcing authority without delay, most easily by reporting on line at <http://www.hse.gov.uk/riddor/index.htm>. Alternatively you can telephone 0845 3009923.

Reportable Specified injuries are:

- fractures, other than to fingers, thumbs and toes
- amputations
- any injury likely to lead to permanent loss of sight or reduction in sight
- any crush injury to the head or torso causing damage to the brain or internal organs
- serious burns (including scalding) which:
covers more than 10% of the body
causes significant damage to the eyes, respiratory system or other vital organs
- any scalping requiring hospital treatment
- any loss of consciousness caused by head injury or asphyxia
- any other injury arising from working in an enclosed space which:
leads to hypothermia or heat-induced illness
requires resuscitation or admittance to hospital for more than 24 hours

Injuries resulting in more than seven days off work MUST be reported to the ICC within 15 days of the incident happening

The standard of a seven day injury is that the employee or self-employed person is absent or is unable to do work that they would reasonably be expected to do as part of their normal work for seven consecutive days as a result of an occupational accident or injury.

Calculation of the number of days should exclude the day of the incident, but include weekends, bank holidays and rest days.

Occupational diseases, that is diseases arising from a work activity MUST be reported as soon as practicable

If a doctor notifies you that your employee is suffering from a reportable work-related disease, you must report it to the HSE. A self-employed person must also do likewise.

Dangerous occurrences MUST be reported to ICC as soon as practicable

If something happens which does not result in a reportable injury, but which clearly could have done, then it MAY be a dangerous occurrence. This must be reported. A full list of reportable dangerous occurrences is available at: <http://www.hse.gov.uk/riddor/what-must-i-report.htm>





How to report to HSE

Who reports?

Only "Responsible Persons" including employers, the self-employed and people in control of work premises should submit reports under RIDDOR. If you are an employee (or representative) or a member of the public wishing to report an incident about which you have concerns, please refer HSE advice.

Online

Responsible persons should complete the appropriate online report form which will then be submitted directly to the RIDDOR database. You will receive a copy for your records. The following report forms are available on the HSE website:

- Report of an injury
- Report of a dangerous occurrence
- Report of a case of disease
- Report of flammable gas incident
- Report of a dangerous gas fitting

Telephone

All incidents can be reported online but a telephone service is also provided for reporting fatal and major injuries only - call the Incident Contact Centre on 0845 300 9923 (opening hours Monday to Friday 8.30 am to 5 pm).

When to report?

In cases of death or specified injuries, you must notify the enforcing authority without delay, most easily by reporting online. Alternatively, you can telephone 0845 300 9923.

Cases of over-seven day injuries must be notified within fifteen days of the incident, using the appropriate online form.

Cases of occupational disease, including those associated with exposure to carcinogens, mutagens or biological agents, should be reported as soon as the responsible person receives a diagnosis, using the appropriate online form.

NB The HSE and local authority enforcement officers are not an emergency service.





Accident Reporting for Employees on a Government-Funded Training Scheme

You **MUST ALSO REPORT** all incidents covered by the list set out below to either the British Racing School, the Northern Racing College, The National Stud or any other BHEST approved learning/training provider, depending on which provider the learner/trainee is attached to, as soon as practicable, usually by telephone. The learning/training provider will then deal with the process from there.

You must report:

- Deaths
- Major Injuries, including assaults
- Other injuries or conditions covered by RIDDOR
- Other injuries or conditions not specified by RIDDOR which lead to an absence from work-based learning/training for eight or more consecutive days (including weekends, bank holidays and rest days but excluding the day of the incident)
- Any loss of physical or mental faculties or any disfigurement which may give rise to a claim under the Department of Education and Skills (DfES) Analogous Industrial Injuries Scheme.

Responsibilities of the Learning/Training Providers

The learning/training providers are expected to ensure that suitable and sufficient arrangements are in place to monitor the placement yards and studs, and to take steps to address deficiencies so that they can discharge their duty of care to the learners/trainees. In the event of an accident, they are required to ensure that measures to prevent a recurrence are in place. Explanation of such measures should be in writing.





ACCIDENT REPORTING PROCEDURE

SUMMARY

- All accidents involving personal injury occurring in the yard or stud must be recorded in a formal Accident Book. You are also advised to record near accidents.
- In the case of fatal or major injury, work-related disease or a dangerous occurrence, a report must be made to the HSE as soon as practicable.
- In the case of "over seven day injuries" a report must be made to the HSE within fifteen days.
- All incidents should be reviewed internally to establish whether procedures need to be revised in order to avoid recurrence.
- Additionally, incidents involving learners/trainees on a Government-funded training scheme must be reported to the British Racing School, Northern Racing College, the National Stud or other BHEST approved learning/training provider.in the event of an investigation.
- You should report accidents/incidents to your Insurance Company.
- For further information on RIDDOR, including online reporting visit:
<http://www.hse.gov.uk/riddor/index.htm>





SECTION 2 - ACCIDENTS ON THE GALLOPS, PROCEDURE

Sample policy

In case of accidents on the gallops the following procedure should be followed:

1. Take in what has happened quickly and calmly. Look out for any dangers to yourself and the person injured (including any loose horses or other strings).
2. Assess possible injuries to the casualty.
3. Get help by using your mobile phone or if appropriate send another member of staff for help. Report the accident to the trainer or senior member of staff, giving a brief account and the location of the injured person.

N.B. If possible, if you are situated in a remote area find out your grid reference for use by air ambulance eg SU 569 636. This should be clearly displayed near the main yard telephone and also loaded onto employees mobiles who lead out on the gallops.

YardGallops

4. If a loose horse is involved send a person to catch it, in order to make the area safe for the injured person, yourself and bystanders.
5. Keep the injured person warm and stay with them until help arrives.
6. For further information, refer to the yard's Health and Safety Policy document.





SECTION 3 –ASBESTOS

Guidance/Specific Legal Policy

Guidance

The use of asbestos has been banned in the United Kingdom since 1999. Due to the extensive use of asbestos products in the construction industry in the past they now pose a significant risk to workers who may disturb it - construction and maintenance workers. Owners and/or occupiers who have responsibilities for the maintenance of commercial premises now have a legal duty to identify all asbestos in their building and to manage the risks associated with asbestos products in the building.

The purpose of managing asbestos in buildings is to prevent or, where this is not reasonably practicable, minimise exposure. There are three essential steps to take:

- Establish whether the buildings contain asbestos, and, if so, where it is and what condition it is in. If in doubt, materials must be presumed to contain asbestos;
- Assess the risk; and
- Make a plan to manage that risk and act on it.

Where asbestos materials are in good condition and unlikely to be distributed they do not present a risk. Where the materials are in poor condition or are liable to be disturbed or damaged, asbestos fibres may be released into the air, which, if breathed in, can cause serious lung diseases, including cancers. This information must also be made available to contractors and maintenance staff before any work is undertaken.

Further guidance can be found by visiting www.hse.gov.uk/asbestos/index.htm and www.hse.gov.uk/asbestos/campaign/duty.htm.

Specific Legal Policy

The business has retained (Name of Specialist) who will monitor and review the regulatory requirements necessary to control and monitor this matter.





SECTION 4 - CHEMICALS AND FLUIDS UNDER PRESSURE

Sample policy

1. All chemicals are kept properly labelled in the locked and none may be removed without the permission of (Name) A record of all chemical stocks is kept and all use logged and signed for.
2. The following information should be made available and observed:
 - a) hazard data sheets supplied with substances bought
 - b) manufacturer's guidance
 - c) use-by dates

These should be consulted for advice on handling, storage and disposal of chemicals and fluids under pressure. Protective clothing should be used when handling weedkillers, poisons and other such chemicals.
3. Supervisors and employees should ensure that all other employees are made aware of the locations in which toxic substances (such as vermin poison and weedkillers) are being used. Any employee who believes they have come into direct skin contact with such substances should report this to their supervisor immediately.
4. Compressed air equipment and compressed gas equipment will be checked regularly by (Name) in accordance with the written timetable.
5. Care should be taken when using pressure cleaners.





SECTION 5 - DRIVING

Specific Legal Policy/Sample policy

The Business acknowledges that any employee driving whilst on its business is exposed to risk. For that reason it has adopted the following procedure;

(Name) will only authorise employees to drive on behalf of the Business after having regard to;

1. the age, health and experience of the person
2. whether that person will be accompanied
3. the length of the journey and whether there is an alternative to driving
4. that the time allowed for the journey is adequate

In addition employees;

1. driving for the Business will comply with the Highway Code and the Road Traffic Acts, including the use of mobile communication devices
2. using their own vehicles to drive for the Business are responsible for their roadworthiness, maintenance and insurance, and will only use them after having first obtained authorisation from (Name).
3. should keep a record of all journeys driven for the Business
4. driving one of the Business' vehicles will first obtain authority from (Name) who will have given regard to insurance cover





SECTION 6 - ELECTRICAL SAFETY

Sample policy/Guidance

1. Electrical plant used in the workplace can be broadly broken down into two types:
 - Fixed electrical installations (the fixed wiring in buildings, lights, sockets, switches etc).
 - Portable/Transportable electrical appliances (clippers, portable lamps etc).

All electrical faults should be reported to (Name _____)

Employees will be trained in basic electrical safety awareness so that defective equipment can be identified.

Fixed Electrical Installations

It is important to ensure that the fixed electrical installation is constructed and maintained to prevent danger, in particular:

2. Socket outlets which can be used for powering portable tools should always be protected by a 30 milliamp Residual Current Device (RCD). All RCD's should be regularly tested by pressing the 'test' button on the device and any defects remedied by a competent electrician.
3. Parts of the fixed electrical installation which are outside or may be exposed to a damp environment (e.g. near to a pressure washer) should be of a type suitable for use in this environment. Electrical systems frequently carry an 'IP' rating which is a guide to the environment the system is designed for.
4. The fixed electrical installation should be maintained to prevent danger. This involves having a 'periodic inspect and test' carried out by a competent electrician. The duration between tests will be selected in accordance with advice from the electrician; results from previous tests (i.e. if deterioration is noted between tests, then the frequency may need to be increased) and guidance published by the Institution of Electrical Engineers, which states that for most industries the initial duration should be between 3 and 5 years. The result of any inspection will be recorded and kept at least until the next inspection.

Portable Appliances

5. Portable appliances should be suitable for the environment in which they are to be used. For example, toughened cable (e.g. armoured or special hardwearing polyurethane flexes) should be used in areas where damage to cables may occur. In damp environments suitable weatherproofed equipment will need to be used. Means should be provided to protect against impact (e.g. hand-held lamps). In some instances the risks will be so high that you will need to consider alternative power sources (e.g. battery powered or pneumatic tools).
6. No extension leads or portable electrical equipment may be used except with the permission of (Name _____) and only after it has been checked. Extension leads which are stored on a reel should always be fully extended whilst in use.
7. Using electrical equipment near water can be very dangerous. All electrical equipment, plugs, cables, leads and extension leads should be kept away from water at all times whilst in use. The operator of any electrical equipment must instruct other employees not to spill or throw water near to electrical equipment.
8. It is dangerous to allow a horse to walk across an electrical cable. Piercing of a live cable by the horse's hooves could result in an electrical shock, which may be fatal. Even if the cable is unplugged, damage to the protective covering is likely to occur, which could later result in an electrical accident.





DO NOT ALLOW A HORSE TO WALK OVER AN ELECTRICAL CABLE EVEN IF IT IS SWITCHED OFF OR NOT PLUGGED IN.

9. If electrical equipment (eg clippers) is being used directly on a horse, the horse should be appropriately restrained and not be able to damage any part of the equipment, cable, plug or switch (eg by biting or treading on it). The horse should not be left unsupervised at any time whilst electrical equipment is being used, and all electrical equipment must be removed from the vicinity of the horse if the horse has to be left unsupervised, no matter for how short a time.
10. Means of isolating the power supply should be provided where necessary (e.g. at socket outlets).
11. Portable appliances should be maintained to prevent danger. A formal inspection and Portable Appliance Test (PAT) will normally need to be carried out at suitable intervals, unless the risks are low enough not to justify this (e.g. fixed computer systems). In any case a simple visual examination of equipment and its power cables should be made periodically on all equipment. A competent electrician will carry out the PAT test and inspection.
12. The inspection will be recorded and an asset register of electrical appliances is maintained.

Appliances are marked by the inspector with a unique number to record that all have been inspected/tested when necessary.
13. Repairs to portable appliances should be carried out properly and by a competent person. For example, never make repairs to flexible cables using 'chocolate blocks' or similar connectors.

Further specific information is available from: <http://www.hse.gov.uk/pubns/elecindx.htm>





SECTION 7 - ENVIRONMENT AND PREMISES (see also Waste)

Sample policy/Guidance

1. All employees are to ensure that their work areas are kept clean and tidy and they should maintain a good standard of personal hygiene.
2. The kitchen and canteen are to be kept clean and tidy at all times. This is the responsibility of (Name)
 - Surfaces and equipment which are used for the preparation of food should be cleaned immediately after use.
 - Towels must be washed regularly.
 - Surplus food is to be disposed of in the waste bins provided. Rubbish is put out for disposal regularly. Dustbin collection day is ()
 - Ovens, gas and electric rings and microwave ovens should not be left unsupervised whilst in use. Any heaters that are used should be sensibly positioned away from tables and chairs and kept clear of food, drink and clothing. Heaters are to be switched off when not in use.
3. All employees should have access to adequate toilet and washroom facilities and ensure that they are kept clean. Washbasins should be kept clean and unblocked. Bins with lids are provided in the washroom area, and should be regularly emptied. Toilet paper should be available at all times. Hand towels should be regularly washed. Shower and bathing facilities should be kept clean and regularly disinfected. Employees should provide their own personal washing, hygiene and sanitary equipment. Lockers and locker areas should also be kept clean and tidy. Food, perishable items and wet towels, clothing, etc should not be stored in lockers.
4. Drains should be kept clean at all times. (Name) will be responsible for ensuring that they are disinfected regularly.
5. Employees responsible for stores should ensure safe stacking and storage of all stored goods. Any equipment, ladders, tools, barrows, buckets, hosepipes etc, are to be correctly stored and not left at any time in such a way as to be an obstruction.

Particular care should be taken with bales to ensure they are un-stacked safely. Stacks of small bales should not be undermined and large bales should be mechanically moved to a safe position before opening.
6. Bonfires should not be lit without permission and should be supervised at all times.
7. All traffic routes on the premises should be suitable for people, vehicles and horses as appropriate. Clear signs indicate the correct route to ensure safety to all people and horses. All debris and rubbish should be removed from the traffic routes and fire escapes and exits kept free of obstacles at all times. All traffic routes are to be maintained in a good state of repair and treated appropriately in severe weather conditions.





SECTION 8 - FIRE - GENERAL SAFETY (see also Risk Assessments)

Sample policy

GENERAL FIRE SAFETY

General fire safety is checked regularly at by (Name) This person is responsible for notifying all staff of the location of fire fighting equipment (alarms, extinguishers, hoses, sand buckets and water sources), for ensuring that it is checked regularly, for labelling all flammable material clearly, for ensuring that all fire hoses are long enough and have sufficient power to reach every part of the yard and that sand buckets, containing dry sand, are kept filled and adequately distributed.

Fire extinguishers are located at the following points:

.....

Water sources are located at the following points:

.....

Water hoses are located at the following points:

.....

1. Horses are normally terrified of fire and smoke and tend to panic.
2. This is an added reason to be aware of the risks and know the drill.
3. (Name) is responsible for checking fire escape routes (both in the yard/stud and in staff accommodation).
4. All employees are responsible for ensuring that fire escape routes, and access for emergency vehicles to the premises are kept clear of obstruction at all times.
5. Regular fire practices will take place and all employees are obliged to co-operate in these.
6. Each fire extinguisher is clearly marked with the type of substance it contains and the fire type it is designed to deal with. It is important to check the labelling before use.

DO NOT USE WATER ON ELECTRICAL FIRES.

1. There should be no smoking on the premises, near the muck heap, hay or straw barns, where vehicles are parked or near flammable material. Smoking is only permitted in the designated area of
2. Bonfires should be supervised at all times





SECTION 9 - FIRST AID

Guidance

Immediately and properly examining and treating injuries may save a life or prevent minor injuries becoming major ones - especially in high risk occupations such as thoroughbred horse training and breeding.

As an employer, you have legal duties to not only provide first aid, but also to inform your employees of the first aid arrangements.

1. The employer is required to carry out an assessment of first aid needs and the number of first aiders required will depend on the outcome of the employer's assessment of these needs. Guidance on this is available in HSE leaflet 'First Aid At Work - your questions answered' INDG214 (rev1) available as a web-friendly version at ww.hse.gov.uk.
2. There are two recognised First Aid qualifications plus Appointed Persons:

First Aid at Work Certificate ("FAW")

This requires attendance on a three-day course that includes EFAW but also allows treatment of more specific conditions.

Emergency First Aid at Work Certificate ("EFAW")

This qualification allows the holder to give emergency first aid to injured or unwell persons. For both of the above, annual refresher training is recommended to keep basic skills up-to-date. This is also available from approved training organisations.

Appointed Persons

The HSE defines an Appointed Person as someone who takes charge of first aid arrangements, including looking after equipment and facilities and calling the Emergency Services when required. They are not required where first aiders are already available and would only provide emergency cover where one is not unavailable (for reasons other than annual leave). Training is not required though can be arranged to provide additional assurance. Some learners/trainees on Apprenticeships may have attended a First Aid Course at the BRS, NRC or National Stud. Employers could consider these employees when assessing their requirements

The Health and Safety Executive produces guidance as follows on the number of first aiders required in 'Higher hazard' situations:

Less than 5 people	At least one Appointed Person
5 - 50 people	At least one FAW or EFAW depending on the type of injuries likely to be encountered
More than 50 people	At least one FAW for every 50 people employed

If there are hazards for which additional First Aid skills are necessary, then at least one person to be trained in the additional emergency skills.





Cover should be provided when anyone is working.

- 1 Training records should be kept and refresher training provided annually and to renew the qualification as per your provider.
- 2 Remember, when a designated first aider leaves your employment, he or she should be replaced immediately.
- 3 The employer should appoint someone (usually a qualified first aider) to take charge of first aid arrangements, including looking after the equipment and calling the emergency services when required. An **appointed person** can also fulfil this role.
- 4 The employer should provide a **suitably stocked first aid container** (green with a white cross) which is replenished as required by a first aider or **appointed person** and checked for items that may be out of date.
Such boxes should be available in all areas where they are likely to be needed such as the yard / stud office, tack room, horse box, hostel, vehicles and smaller 'kits' carried by at least one member of the string when riding out.
- 5 The employer should **provide information** (usually via the staff notice boards) to employees such as the name(s) of the qualified first aiders, the location of the first aid boxes and the telephone numbers and addresses of the local GPs and hospitals with accident and emergency departments. All employees should be trained as to the information that needs to be relayed by telephone and how to contact emergency services.
- 6 Details of first aid training providers can be found in local telephone directories or by contacting the **HSE Infoline on 0845 345 0055** for information on approved providers in a particular area.
- 7 The St John Ambulance Service and the Red Cross provide first aid at work training and details on their courses can be obtained from:

www.sja.org.uk (tel. 0844 770 4800) (tel. 08700 10 49 50)

www.redcross.org.uk (tel. 0844 871 8000)





FIRST AID BOX - SUGGESTED CONTENTS

The following is considered to be the minimum, but remember that you are working in a high risk establishment. Your risk assessments and experience of accidents will help you decide what items should be kept in the first aid box.

FIRST AID BOXES

- a general leaflet on first aid
- individually wrapped sterile adhesive dressings (assorted sizes) appropriate for the work Environment
- sterile eye pads
- individually wrapped triangular bandages (preferably sterile)
- safety pins
- 6 medium-sized, individually wrapped sterile un-medicated wound dressings (approx. 12 cm x 12 cm)
- 2 large-sized, individually wrapped sterile un-medicated wound dressings (approx. 18 cm x 18 cm)
- 1 pair of disposable gloves

Where tap water is not readily available for eye irrigation, sterile water or sterile normal saline solution (0.9%) in sealed disposable containers should be provided. Once opened they must not be stored and re-used.

TRAVELLING FIRST AID KITS

- a general leaflet on first aid
- 6 individually wrapped sterile adhesive dressings (assorted sizes)
- 2 individually wrapped triangular bandages (preferably sterile)
- 2 safety pins
- 1 large-sized, individually wrapped sterile un-medicated wound dressings (approx. 18 cm x 18 cm)
- 1 pair of disposable gloves
- individually wrapped moist cleaning wipes





SECTION 10 - HORSE MANAGEMENT

Sample policy/Guidance

1. All employees must be trained in the correct handling of livestock and should not attempt to handle any livestock without such training. Regular day to day tasks involving the normal care and welfare of horses, plus their training and exercise routines shall be carried out in accordance with instructions and normal policy. Employees should be aware that some tasks require assistance or special expertise or training. Horses should be restrained in the accepted manner when necessary or desirable or when instructed to do so. Employees should make sure that the area in which each task is to be carried out is suitable and free from obstructions. Some tasks which may be thought likely to cause the horse to resist, or to act in an excitable manner, may require permission from the trainer/supervisor, and additional assistance, restraints and precautions may be necessary. The trainer or supervisor should be consulted if in doubt.
2. Soaps and perfumes which might sexually arouse colts should not be worn.
3. All movement of horses (eg leading by hand) should be carried out in a safe and controlled manner.
4. No one may ride out unsupervised, except with the consent of (Name _____). When riding out, all riders are to remain in the string until instructed otherwise and always obey instructions given by the leader of the string. The trainer/supervisor will authorise which riders may ride a horse which is known to be excitable or temperamental.
5. Particular care must be taken when crossing roads and railways, only using designated crossing points. Where none is available, the person crossing should review the risks and the likelihood of harm before deciding whether or not to cross.
6. Lungeing of horses should only be carried out in a defined fenced area by an authorised and trained employee. If considered appropriate, employees should wear a properly fitted skull cap, gloves and a safety vest while lungeing.

Other areas you may wish to consider include:

- Indicating where any horse that has a vice or temperament problem and limiting access to experienced personnel only.
- Providing specific training and designating specific individuals to handle stallions and having more than one member of staff in attendance when stallions are being dealt with. Teasing being carried out by trained and experienced staff (using appropriate PPE such as skull caps and protective footwear) in the designated areas and over a teasing board.
- Covering being carried out by suitably trained and experienced staff wearing appropriate PPE such as skull caps and protective footwear.
- Having two members of staff present for foaling at any time during the day or night.





SECTION 11 - HSE PUBLICATIONS

Guidance

The HSE has a comprehensive range of publications, all of which are detailed in the HSE Books Catalogue (stock code CAT34/02/2) or which can be downloaded from the website

This catalogue and other publications can be ordered by:

Phone 01787 881 165
 Fax 01787 313 995
 Post HSE Books
 PO Box 1999
 Sudbury
 Suffolk
 CO10 2WA
 Email hsebooks@prolog.uk.com
 Online www.hsebooks.co.uk

The text of most free publications can be viewed and downloaded from the main HSE website (www.hse.gov.uk).

The publications used in producing these Guidelines may be of particular interest:
 Priced publications:

- Health and Safety law - what you should know (poster) - ISBN 978 0 7176 63392
- Accident book BI 510 - ISBN 978 0 7176 6458 0
- Preventing accidents to children in Agriculture - ISBN 978 0 7176 1690 9 (also available as a free download)

Free leaflets:

All available from www.hse.gov.uk, online or for download as PDFs

- Veterinary Medicines: Safe use by farmers and other animal handlers - AS31 (rev2) Working with substances hazardous to health: What you need to know about COSHH - INDG136 (rev5)
- Manual handling assessment charts - INDG383
- Getting to grips with manual handling - INDG143 (rev3)
- A short guide to the Personal Protective Equipment at Work Regulations 1992 - INDG174 (rev1)
- Workplace transport safety - an overview - INDG199 (rev1)
- Working alone in safety - INDG73 (rev2)
- Health and safety training: What you need to know - INDG345 (rev1)

Online resources

Health and Safety made simple - <http://www.hse.gov.uk/simple-health-safety/>
 The basics necessary to comply with health and safety at work

The Health and Safety Toolbox: How to control risks at work - <http://www.hse.gov.uk/toolbox/index.htm>

Practical advice to help you identify, assess and control common risks in their workplace.

New and expectant mothers - <http://www.hse.gov.uk/mothers/>





OTHER INDUSTRY PUBLICATIONS

Car and Driving Policy - available on NTF and TBA websites for members

Raceday Safety Advice Sheet - available on NTF website for members

The Guide to Health and Safety in the Racing and Breeding Industry, including all sample policies and guidance documents is available for download on the websites of the BHA, TBA, NTF.





SECTION 12 - INSURANCE

Guidance

1. Legal Requirements

All employers are legally required to have Employers' Liability insurance; that is insurance against liability for bodily injury or disease sustained by their employees, learners/trainees and any work experience students in the course of their employment.

Under the Employers' Liability (Compulsory Insurance) Act 1969, such policies must be taken out with authorised insurers, i.e. persons lawfully carrying on a class of insurance business in Great Britain under the Companies Act 1985. A list of authorised insurance companies is given in the "Insurance Annual Report", published by the Department of Trade and Industry and available from The Stationery Office.

An employer must be insured for a minimum £5 million in respect of claims arising out of any one incident, although the indemnity under such policies is usually up to £10 million.

It is recommended that you satisfy yourself that any sub-contractors you use carry appropriate insurance.

2. Documentation

Your insurance company will issue you with a Policy Document and a Certificate of Insurance. The Certificate should be kept on file. A copy should be displayed on the staff notice board or other place which is accessible at all times by employees unless it is available to all employees in electronic format.

Both documents need to include:

Name of the Insurance Company

Name of the Policy Holder

Policy Number

Dates of commencement and expiry

An example of a Certificate of Insurance is shown overleaf.

3. Public Liability

Public Liability insurance protects the trainer/stud owner if a horse causes an injury or damage to a third party i.e. someone unconnected with the yard. Public liability insurance is strongly recommended for all trainers/stud owners especially in the light of a recent court case which means that employers can be liable, even though there is no evidence of negligence. It is a BHA licensing requirement for trainers and permit holders to have provision of Public Liability Insurance to a minimum of £2 million, including cover of racehorses on a racecourse at a recognised race meeting.

Yards or studs with public footpaths on their land should not put horses known to be dangerous in fields with footpaths running through them.

4. Self-Employed

Any self-employed work riders should be encouraged to take out their own insurance cover. Self-employed workers should be advised that they are not covered by the RIABS Scheme.





Certificate of Employers' Liability Insurance (a)

(Where required by regulation 5 of the Employers' Liability (Compulsory Insurance) Regulations 1998 (the Regulations), one or more copies of this certificate must be displayed at each place of business at which the policy holder employs persons covered by the policy).

Certificate Policy No: **XXXXXXXXXXXXXXXX / XXX**

1. Name of Assured:
2. Date of Inception:
3. Date of Expiry:

We hereby certify that subject to paragraph 2: -

1. The policy to which this certificate relates satisfies the requirements of the relevant law applicable in Great Britain, Northern Ireland, the Isle of Man, the Island of Jersey, the Island of Guernsey and the Island of Alderney, or to off shore installations in any waters outside the United Kingdom to which the Employers' Liability (Compulsory Insurance) Act 1969 or any amending primary legislation applies (b); and
2. The minimum amount of cover provided by this policy is no less than £5,000,000 (c)

Dated this **XX day of XX / XXXX**

Signed for and on behalf of: **NAME OF ISSUING INSURANCE COMPANY HERE** subscribing to the above policy (Authorised Insurer)

- (a) Where the employer is a company to which regulation 3(2) of the Regulations applies, the certificate shall state in a prominent place, either that the policy covers the holding company and all its subsidiaries, or that the policy covers the holding company and all its subsidiaries except any specifically excluded by name, or that the policy covers the holding company and only the named subsidiaries.
- (b) Specify applicable law as provided for in regulation 4 (6) of the Regulations.
- (c) See regulation 3(1) of the Regulations and delete whichever of paragraphs 2(a) or 2(b) does not apply. Where 2(b) is applicable, specify the amount of cover provided by the relevant policy. (Paragraph 2 (b) does not apply and is deleted).

Note: The information below this line does not form part of the statutory certificate. International Insurance Company of Hannover Limited on whose behalf this certificate is issued require the following information to be entered by the issuing intermediary. Name and address of issuing intermediary: -

In this space the broker will provide details of their address, contact numbers and or any other relevant information





SECTION 13 - MACHINERY AND EQUIPMENT

Sample policy/Guidance

1. All machinery is to be used in accordance with instructions and training and only after it has been vetted for health and safety. Safety guards as appropriate must be used. Any malfunctioning machinery must be reported immediately to (Name) Up to date maintenance logs will be kept by (Name) Instructions on how to use equipment will be kept by (Name) in
2. No employee shall operate any machinery or equipment or ride, lunge, lead or otherwise work or handle a horse if affected by medicines, alcohol or drugs, or if they are suffering from any medical condition which impairs their ability to function safely eg dizziness, faintness, nausea, impaired vision, impaired use of limbs, etc. These may be temporary conditions (eg influenza, migraine, etc) or may be conditions indicative of more serious, long-term problems.
3. No employee will be permitted to operate any machinery or equipment, or ride, lunge, lead or otherwise work or handle a horse if, in the opinion of the supervisor, it is unsafe for them to do so. Any employee who believes themselves or another employee to be affected by medicines, drugs, alcohol or any medical condition which makes it inadvisable for them to operate equipment or machinery or handle horses, should draw this to the attention of their supervisor.
4. Only staff authorised and trained in the use of specific equipment may use that equipment without supervision.
5. It is illegal to use a hand-held mobile phone whilst driving. It is also an offence to "cause or permit" a driver to use a hand-held mobile phone whilst driving. It can be illegal to use a hands-free phone whilst driving. Depending upon the individual circumstances, drivers could be charged with failing to have proper control of their vehicle. Further guidance on the use of mobile phones can be found in the Car and Driving Policy available on the NTF and TBA websites.





SECTION 14 - MOBILE PHONES

Sample policy

1. Mobile phones should not be used when riding except in an emergency.
2. Mobile phones should not be used when leading or handling horses, except in an emergency.





SECTION 15 - OFFICE

Sample policy

1. Under the Health and Safety (Display Screen Equipment) Regulations 1992, employees who habitually use a Visual Display Unit (VDU) as a significant part of their normal work can ask us to provide and pay for an eye and eyesight test at a designated optician. If this shows that further examinations or spectacles are required specifically for VDU use, and normal ones cannot be used, we will bear the costs of tests and/or spectacles up to a value of £..... for the first pair or as otherwise agreed in writing by (Name) and changes in lenses if required thereafter. Employees must provide the optician with written consent to provide us with a copy of the report on the results of the tests.
2. VDU users should take a five minute break after every 50 minutes of uninterrupted use of the equipment. Such breaks should be taken away from the screen but do not need to be formal rest breaks and can be spent doing other office tasks.
3. A foot rest and/or wrist rest will be made available to any user who wishes to have one and if it is advisable.
4. A VDU user who suspects that they are suffering from any physical problems, visual fatigue or mental stress should notify (Name) without delay.
5. A VDU user who suffers from photosensitive epilepsy should notify(Name) before commencing use of a display screen.
6. Radiation emission from VDUs does not apparently put unborn children at risk but any women users who are pregnant or planning children and are worried about VDUs should talk to their doctor and report back to (Name).





SECTION 16 - PERSONAL PROTECTIVE EQUIPMENT

Specific legal policy/guidance/sample policy



Under BHA Rule (C)25 trainers should ensure that all persons wear a skull cap complying with Schedule (D)2 when mounted on horses. Trainers are also required to wear skull caps when mounted on horseback. Schedule (D)2 states:

A Criteria

1. All skull caps shall meet the criteria that is set out in the Rules of Racing and can be found on the following link and is subject to change from time to time:
<http://rules.britishhorseracing.com/Orders-and-rules&staticID=126146&depth=3>

2. All skull caps must be in a serviceable condition.

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

B The skull cap must be of the correct size for the individual rider, the face harness must be correctly adjusted and the chin strap fastened at all times when mounted on a horse, following the manufacturer's instructions.

C As skull caps are designed for "single impact only", any skull cap which has been subjected to a severe impact or has been worn by a rider suffering concussion should not be regarded as serviceable and should be replaced. If you have any concerns with the condition of your own skull cap you should speak to (Name)

Under Rule (C)25, the BHA requires every Trainer to ensure that whenever a person is mounted on a horse in his care in his capacity as a trainer, that person is wearing a safety vest which meets the standard laid down in Schedule (D)2, headed "safety vests". Disciplinary action may be taken against any trainer whose employees are not seen to be complying with this Rule.

As a minimum requirement no stable employee shall be mounted on a horse unless he/she is wearing a safety vest which meets the criteria set out in the Rules of Racing and can be found on the following link and is subject to change from time to time:

<http://rules.britishhorseracing.com/Orders-and-rules&staticID=126146&depth=3>

Safety vests must not be modified in any way and fitted in accordance with manufacturer's instructions. They must also be in a serviceable condition. It is recommended that safety vests are replaced at least every 3 years, however they should be replaced sooner in the event of an accident.





NOTE

Drawing on the Risk Assessments, the employer may decide that some or all of the following should be worn in certain circumstances. For example:

Skull cap - when clipping, leading, long reining, stalls practice, lungeing, loading, teasing or working in the covering barn.

Reflective Clothing - fluorescent tabards for riding out in the dark and light-coloured or fluorescent clothing in the daylight.

Safety Vest - must be worn at all times whilst mounted and strongly advised when dismounted and engaged in other potentially hazardous stable tasks ie. lungeing, long reining, clipping etc.

Gloves - it is advisable to wear suitable gloves when lungeing or leading. Protective gloves should also be worn when handling chemicals etc.

Goggles - shatter proof goggles to protect eyes on the gallops. These may be considered essential when riding behind on most surfaces in order to prevent kick back.

Riding boots - suitable boots with smooth sole and a small heel should be worn when mounted at all times.

Protective Footwear - when handling horses from the ground.

Ear plugs - to protect from noise (eg on a tractor or a fork lift).

Overalls or suits - to protect from dust or splashing, contamination by rodents etc.

Visors - to protect eyes when strimming/hedgecutting

Dust masks - may be required for working with hay and straw.

Clothing should be appropriate to the job.

Any equipment deemed to be necessary for the safe undertaking of a task is interpreted as Personal Protective Equipment, and must be provided to employees free of charge.

Wellington boots or any footwear with ribbed soles are not considered as suitable footwear when mounted.

Jewellery (earrings, rings, bracelets, brooches, cosmetic studs inserted through the skin, etc) should not be worn when employees are in contact with horses. Wristwatches are permissible, but should have a leather or synthetic strap, rather than a metal bracelet, in order to minimise risk. Long hair should be tied back or secured so as not to impair vision or to risk entanglement with equipment, tack or horses





SECTION 17 - POOR VISIBILITY

Sample policy

When horses are being exercised in poor visibility all riders and all horses should wear high visibility and/or reflective clothing at all times.





SECTION 18 - SAFE USE OF ALL-TERRAIN VEHICLES (ATVS), TRACTORS

Guidance

1. This advice applies to sit-astride ATVs sometimes known as quadbikes. These machines are designed for off-road use. Although they appear very stable, most ATV accidents involve overturning and this can have serious consequences. The most important safety issues with respect to sit-astride ATVs are training, personal protective equipment - particularly the wearing of appropriate head protection - maintenance and driving to suit the terrain. Detailed advice on the safe use of ATVs can be found in the free HSE Information Sheet AIS 33 available from HSE offices and downloadable from the HSE Website.
2. Professional training is vital and is accepted by HSE as meeting the legal requirements of both The Health and Safety at Work Act 1974 and the Provision and Use of Work Equipment Regulations 1998. Riders should have formal theory and hands-on training provided by a competent instructor. (Details of training courses are available from Lantra, The Forestry Commission, Agricultural Trainers and Colleges accredited by these two bodies or from dealers.)
3. Head protection is essential. This should be a BSI approved helmet, either a riding hat; a motorcycle helmet; or a custom made ATV helmet.
4. ATV riders should wear clothing that is strong and covers their arms and legs. Gloves are useful for protection and to keep hands warm in cold weather for good control. Wear strong boots or wellingtons with a good grip. Protect eyes from insects and branches with either a visor or goggles.
5. Never carry a passenger on a sit-astride ATV. The long seat is for operators to shift their weight backwards and forwards for different slopes and conditions, NOT for carrying passengers.
6. It is important that users follow manufacturer's advice on the weight of loads or trailed equipment for their particular machine. As general guidance the HSE leaflet, AIS 33, advises a trailer nose load onto the ATV hitch point of approximately 10% of the total weight of the trailed item and its load. Un-braked trailed loads should not exceed twice the weight of the ATV, and braked trailed loads should not exceed four times the weight of the ATV. Loads carried on racks should, where possible, be evenly divided in weight between the rear and front racks for driving on fairly level ground. For steep uphill travel loads are best placed on the front rack and for steep downhill travel on the rear rack. Never exceed the manufacturer's weight limits for loading the rear and front carriers. Do not fit any accessories for carrying loads without consulting the manufacturer or dealer.
7. Off road riding is hard on an ATV so it is essential to carry out maintenance to the manufacturer's recommendations. Check in particular:
8. Tyre pressures - check these daily as only one psi difference in pressure can cause vehicle control problems. Use a gauge that is designed for measuring and displaying low pressure - usually supplied with the ATV.
9. Brakes and throttles - check that the brakes give a safe straight stop and that the throttle operates smoothly in all steering positions. Brakes other than disc brakes can have a relatively short life unless they are regularly and effectively maintained in accordance with the manufacturer's recommendations.
10. Roll bars are not recommended for sit-astride ATVs.
11. Lap straps should not be fitted.





12. Weather cabs restrict a rider's ability to jump clear in an overturn. Carefully assess the risk for the particular conditions of use before fitting any such structure and consult the manufacturer for information.

Sit-In ATVs including the Mule, Argo Cat - Scott Track; Gaitor; Ranger; Hiller; Goblin and other similar machines

1. The legal requirement for training is the same as for sit-astride ATVs.
2. Where there is a risk of the machine rolling over, some device to protect riders and passengers should be provided. This would normally be a cab, roll-over frame or roll bar.
3. Restraining devices such as seat belts should be fitted and worn by the driver and passengers where a roll bar or cab is fitted.
4. If there is a risk of overturning, employees who are carried in the rear of sit-in ATVs should be protected by roll over protection and seat restraints.

TRACTORS

Sample policy 

1. The tractor is only to be used by trained and authorised employees. Safety critical components, eg brakes, steering, roll over protection, tyres, visibility aids should be checked by the local dealer. The driver is responsible for daily checks of items such as mirrors, lap belt etc. Any defects should be reported to (Name.....)
2. Passengers should only ride on a tractor if there is a second seat provided for this purpose. Passengers should not ride in an unsafe position eg draw bars, rear linkage etc.
3. If a tractor weighs more than 560kg it should be fitted with a safety cab or roll over protection.
4. Whilst driving a tractor follow the SAFE STOP - it makes sure that nothing will move.

'SAFE STOP' is

- making sure the hand brake is on;
- making sure all controls are in neutral;
- stopping the engine and removing the key.

ALWAYS DO IT: -

before leaving the seat; or
 when anyone approaches; or
 when anyone is working on the machine.

5. Unguarded power take off (PTO) shafts, machine blockages and maintenance cause many serious injuries. Correct guarding is essential and you must remember SAFE STOP. This is the most important step to make sure of safety.
6. Do not allow anyone to operate a machine without a PTO guard on the shaft or with a damaged PTO guard.
7. Whilst a tractor can overturn anywhere, on slopes, near field drains and even on the flat, most incidents happen on the slope. All tractor drivers must know and recognise the dangers of slopes and be adequately trained if driving on slopes.





8. Accidents happen because drivers misjudge slopes, ignore changing ground conditions and forget the effect of loads on stability.
- overturning can happen on flat ground as well as slopes
 - match the equipment to the tractor
 - always couple and use the implement brake
 - keep all tractors and machinery well maintained
 - use the seat belt
 - make sure a safety cab is fitted.

Signed

Dated





SECTION 19 - SMOKING, ALCOHOL AND DRUGS (see also the policies on misuse of substances in Welfare)

Specific Legal Policy/Sample policy  

The Business has a policy that does not allow smoking except in designated areas, nor alcohol consumption during working hours, nor work under the influence of drugs.

If an employee is taking prescription drugs which may affect their ability to carry out their duties or have implications for their health and safety and the health and safety of others they must notify Employees who are bringing prescription drugs into work premises must notify All such information will be treated as sensitive personal data.





SECTION 20 - TACK AND SADDLERY

Sample policy

1. It is the responsibility of each employee to check their tack daily before use. Any items that look to be in need of repair should not be used but should instead be taken to (Name _____). Tack to be repaired should be labelled "NOT FOR USE". The items will then be repaired or replaced.
2. If an item breaks whilst in use, it should be taken to (Name _____) to be dealt with in accordance with 1 above.
3. It is the responsibility of each employee to ensure that they ride with appropriately sized stirrup irons.





SECTION 21 - VETERINARY MEDICINES AND MATERIAL

Sample policy

All veterinary medicines and material are kept labelled in a locked cabinet under the supervision of (Name) A record of all medicine stocks is kept. Removal and use of medicines and medical equipment should be logged and signed for.

1. The following information should be used to assess the risks with medicines:
2. Hazard data sheets supplied with substances bought or prescribed
3. Manufacturer's guidance
4. Use-by dates
5. Veterinary instructions regarding use
6. These should be consulted for advice on handling, storage and disposal of medicines (and equipment). Employees should follow the precautions identified in the COSHH risk assessments
7. Before any medication is used the use-by date should be checked, veterinary instructions followed and records of use kept. Only authorised staff can administer medicines and treatment.
8. It is extremely important that a high standard of cleanliness is maintained when handling veterinary medicines and equipment and when dealing with sick or injured animals. Care must be taken to avoid cross-infection and contamination. Employees must wash their hands before and after touching any open wound or source of infection or skin eruption. Any clothing which becomes contaminated with veterinary preparations or with discharge from the mouth, nose, anus, genital or urinary tract, hooves or any wound or skin eruption, should be immediately isolated from contact with humans and animals and washed or discarded as soon as possible. Special instructions should be issued if a horse has to be isolated to prevent the spread of infection.
9. Once veterinary equipment has been used, it should be either safely discarded or sterilised before being placed back in the cabinet.
10. If veterinary preparations are inadvertently spilled, the spillage should be thoroughly cleared up and the area cleaned in accordance with the manufacturer's instructions. If the spillage cannot be cleared up straight away, steps should be taken to stop the spread of the spillage to prevent any other person, horse or equipment being contaminated by the spillage.
11. All people who come into contact with veterinary medicines or equipment should wash their hands thoroughly afterwards.

If any person inadvertently comes into direct skin contact with any veterinary preparation, or if any medication gets into the eyes or mouth, this should immediately be reported to the health and safety representative. Appropriate treatment should be administered, in accordance with the manufacturer's instructions. If the contact is extensive or prolonged in nature, or if the medication is believed to be particularly harmful, then medical and veterinary advice should be sought immediately.





SECTION 22 - VISITORS

Specific Legal Policy/Sample policy

Visitors will be signed in and out of a Visitors Book kept in the Office.

In the event of an emergency that requires evacuation of the premises it will be the responsibility of (Name) to ensure that all visitors are evacuated.





SECTION 23 - WASTE DISPOSAL AND CARCASS REMOVAL

Sample policy/Guidance  

WASTE DISPOSAL

The Business will ensure waste is disposed of in a responsible manner with due regard to recycling and biodegradability, and will obtain permit(s) where appropriate.

Any commercial waste will be carried away by licensed carriers.

Unauthorised burning of waste can carry serious financial consequences.

CARCASS REMOVAL

This will be done in accordance with the directions of veterinary staff in attendance.





SECTION 24 - WELFARE

Sample policy/Guidance  

Occupational diseases

Employees should be aware of the following occupational diseases and notify (Name.....) immediately of any symptoms. It is the employees' responsibility to make themselves aware of the symptoms of any of the following occupational diseases:

Farmer's lung	Asthma
Hay Fever	Ringworm
Weil's Disease (Leptospirosis)	Tetanus
Salmonella	Animal Allergies
Campylobacter	Corynebacterium

Substance misuse

1. Under Health and Safety legislation the yard/stud has a duty to ensure the health, safety and welfare of employees, and must assess the likely risks to the health and safety of employees. Employees also have responsibilities for themselves and others who their actions might affect.
2. These responsibilities extend to the misuse of substances which affect the performance of employees while at work. It is the policy of the yard/stud not to allow employees to work under the influence of substances i.e. alcohol or drugs. To do so places employees and third parties at risk, and renders the yard/stud liable to legal proceedings and financial penalties.
3. For example, under the Road Traffic Act, the yard/stud has a duty to ensure that employees are not under the influence of alcohol and/or drugs while driving, attempting to drive or being in charge of a vehicle/operating machinery on a road or other public place. This includes the riding of horses. Under the Misuse of Drugs Act, it is an offence for the yard/stud to knowingly permit the production, supply or use of controlled substances on the premises.
4. Where an employee appears to have a problem of substance misuse, he/she is encouraged to seek help from the yard/stud who, if appropriate and at the employers discretion, will provide support in line with the racing and breeding industry's drug and alcohol policy and in conjunction with appropriate organisations.
5. A copy of the Substance Misuse policy is available to all employees and can be obtained from the NTF, TBA, NASS and Racing Welfare who can also offer employee guidance, assessment, counselling and referral to appropriate agencies.

Lifting and Manual Handling

1. Avoid hazardous manual handling where possible. An assessment of the risk associated with any hazardous manual handling that cannot be avoided will be undertaken by (Name).
2. Mechanical handling aids eg. wheel barrows, sack barrows and trolleys etc should be used to help reduce the risk of injury. Training in safe lifting techniques may be required and will be provided where necessary.





Work-related Stress

Pressure at work can affect people in different ways, and while being under pressure can often improve performance, excessive pressure can lead to stress, which can be a cause of ill health. It is our duty to ensure that employees are not made ill by their work, and where stress caused or made worse by work could lead to ill health, a risk assessment will be carried out.

NB: For further information, a short guide to Work-related Stress is available from the HSE.

If you consider that you have a stress problem, please talk to..... If you do not wish to do this, you are encouraged to contact Racing Welfare for confidential help and advice on 0800 6300443. Alternatively, you can contact The Rural Stress Information Network on 0247 6412916 (9am to 5pm, Monday to Friday). The RSIN is not a telephone helpline but staff will refer callers to suitable local agencies.

New and expectant mothers

Pregnancy is not equated with ill-health and the intention is to prevent risks to the expectant or new mother and to the child from work which would not usually produce such risk. An initial risk assessment has been carried out concerning the risks to new and expectant mothers in the yard/stud. A number of factors have been considered (see examples below) and will be regularly reviewed:

Rest facilities - the canteen may be used for rest purposes.

Manual handling - pregnant and post-natal mothers are at much greater risk than usual from manual handling. They should not lift heavy loads and should not normally be involved in such tasks.

Chemical agents - where possible, exposure to hazardous substances will be prevented. If this is not possible, Personal Protective Equipment will be provided.

Riding - this will depend on our risk assessment and in some cases, medical advice may be needed.

Livestock - expectant mothers should avoid all contact with pregnant ewes as they carry the organism "Ovine Chlamydiosis".

Female employees should inform.(Name) in writing if they are pregnant, have given birth in the previous six months, or are breastfeeding as early as possible.

NB. A guide "New and expectant mothers at work" explains the actions needed to comply with Health and Safety fire and provides information on known risks to new and expectant mothers and is available from HSE Books.





SECTION 25 - WORKING ALONE

Specific Legal Policy/Sample policy

Any employee working alone will have access to radio communication or a mobile phone.
Prolonged working alone should be directed by (Name _____) and take into account:

- 1 The age of the person.
- 2 Their general health.
- 3 Arrangements for making regular contact.





SECTION 26 - WORKING AT HEIGHT

Specific Legal Policy/Sample policy

1. Working at height will only be undertaken following a suitable risk assessment.
2. Ladders will only be used by employees after consultation with (Name.....)
3. Specialist working at height shall only be carried out by bona fide sub-contractors or by suitably qualified staff appointed by (Name.....).





SECTION 27 - YOUNG PEOPLE AND THE DISABLED

Specific Legal Policy/Sample policy

YOUNG PEOPLE AND THE DISABLED (see also Induction and training)

The Business recognises that before employing a person below the age of 18, it has a responsibility to carry out a risk assessment which takes into account:

1. the layout and fitting out of the workplace and the particular area where they will work;
2. the nature of any physical, biological or chemical agents to which they may be exposed, as well as the length and extent of that exposure;
3. the type of work equipment that will be used and how it will be handled;
4. the organisation of the work processes involved;
5. the need to assess and provide health and safety training;
6. the risks from particular agents, processes and work;

It will also, as appropriate, consider physical or psychological capacity; pace of work; temperature extremes; noise or vibration; radiation; compressed air; hazardous substances; and lack of training and experience.

Before employing children of compulsory school age (currently 16 years and 10 months on the last Friday in June), or offering them work experience placement, the Business will tell their parents or carers of the findings of the risk assessment and control measures taken.

The Business is aware of its responsibilities to ensure that young people undertake appropriate training and that it is understood.

NB: See also Appendix 3 Working Time Directive

THE DISABLED

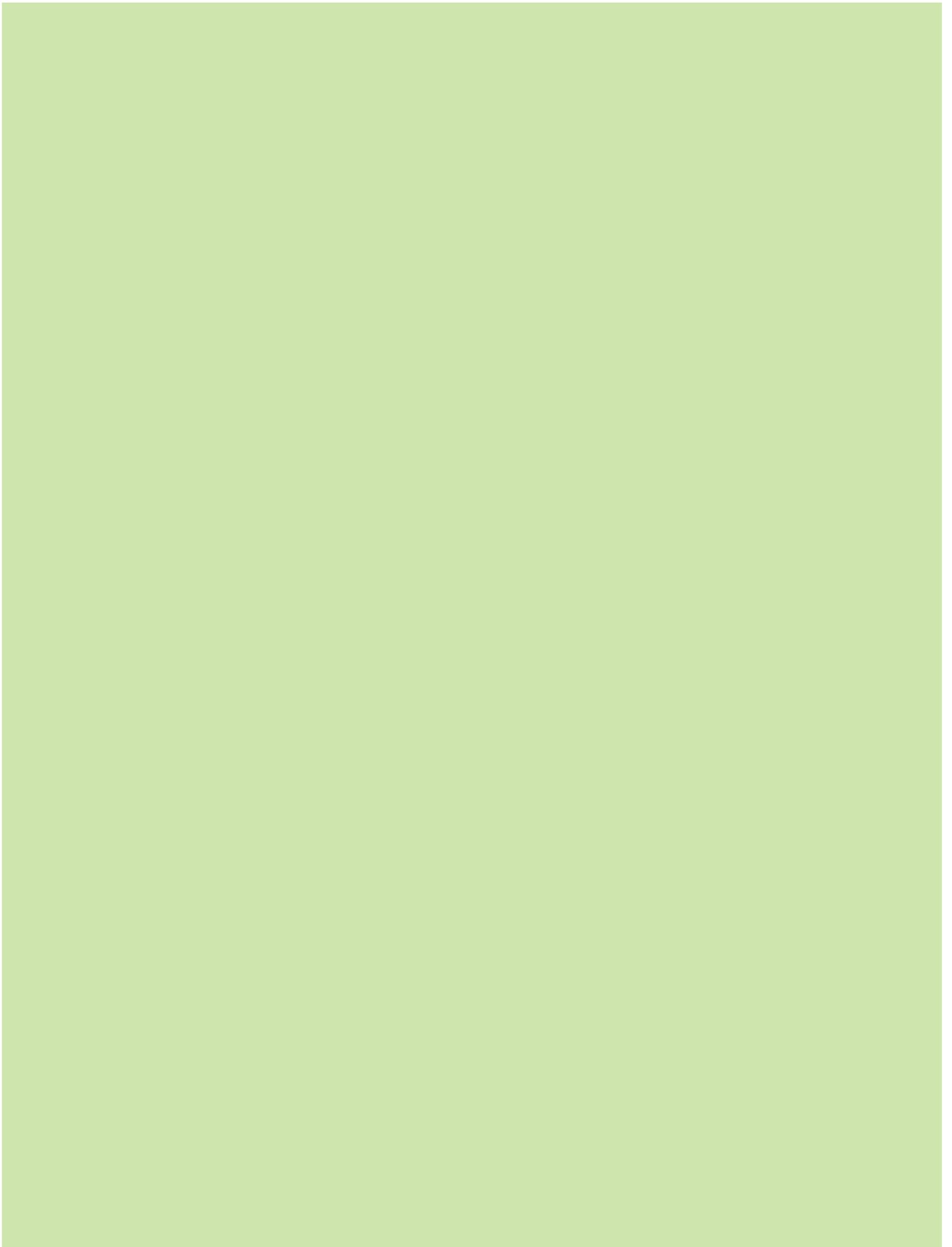
The Business has a responsibility to;

1. take account of disability, avoiding assumptions;
2. involve disabled employees in risk assessment by (Name _____) and making reasonable adjustments;
3. consult others with appropriate expertise as necessary.





What to do if things go wrong





WHAT TO DO IF THINGS GO WRONG

EMERGENCY PROCEDURES

The legal obligation is for the Business to look at what it has, consider the likely hazards that will arise in an emergency, assess and measure them before putting in place procedures which reduce the risk from those hazards.

IN CASE OF DEATH OR SERIOUS INJURY

1 Priorities

- Contact emergency services and management.
- Administer appropriate assistance if medically qualified people are in attendance.
- Ensure nothing is moved.

2 Report to (name) who will:

- 2.1 Confirm emergency services contacted;
- 2.2 Secure the site of the accident - photographs or draw a simple plan;
- 2.3 Ensure nothing is moved - if there has been a death this will be a crime scene;
- 2.4 Note names of those present;
- 2.5 Notify the Business' insurers
- 2.6 Where practicable obtain written statements from them containing:
 - 2.6.1 Full name and occupation;
 - 2.6.2 Background and training;
 - 2.6.3 What, where and when facts - avoid opinions, ensure statement is the witness's impartial recollection of events: any attempt to influence in any way a witness statement is a serious criminal offence punishable by imprisonment;
 - 2.6.4 Contact numbers.

3 Subsequent reporting

Apart from following RIDDOR procedures, managers should internally assess and report to the owner with recommendations and observations.

The key after any accident/incident is to have confidence that the arrangements the Business has in place are appropriate, and to assume there has not been a failure in any way. Co-operation and assistance with the investigating authorities is essential but need not commence with an assumption of failure in the arrangements. Accidents do happen, even in the most carefully regulated situations.

4 Professional advisers: lawyers

Contact details:

The attendance of lawyers can polarise a situation. Reference to them reflecting any concern the Business may have as an investigation proceeds may be invaluable. Balancing those factors means that early contact with its lawyers is particularly important. Most investigations are not in the middle of the night, but by arrangement. Contact particularly if there is any suggestion that anyone in the Business is to be placed under caution.

Remember:

If asked what should have been done to prevent the incident or accident, think before answering as an inspector/investigator may see that as an admission of guilt.

No-one will be blamed if they decide not to respond to an enquiry until they have taken advice. These situations can be extremely difficult to deal with, and fundamental errors can take place.





Appendices



Appendices

- 1. RIABS**
- 2. Working Time Directive**





APPENDIX SECTION 1 - RIABS

Racing Industry Accident Benefit Scheme (RIABS)

The Racing Industry Accident Benefit Scheme is funded by licensed and permitted trainers and by contributions from stable staff. The scheme provides benefits to eligible employees following accidental injury, disablement or death arising out of, whilst carrying out duties, for a licensed trainer, including bona fide journeys between normal place of residence and place of work. The scheme does not cover race riding accidents or accidents, which occur while on, or travelling to and from, a racecourse when engaged to ride.

The scheme is an entirely discretionary scheme operated and administered by the Loss Adjusters, SLS, a Crawford Company, on behalf of the National Trainers Federation.

N.B. There is a three month limit for reporting.

Information on RIABS, including claim forms and scheme rules is available on the NTF website at **www.racehorsetrainers.org**





APPENDIX SECTION 2 - WORKING TIME DIRECTIVE

The Working Time Regulations 1998 came into force on 1 October 1998. They implement the European Working Time Directive and the Young Workers Directive. Further regulations affecting the working time of young workers (those above the minimum school leaving age but below the age of 18) came into force on 6 April 2003.

Compliance with the Regulations is a legal requirement. They are designed to protect the health and safety of employees. The Regulations limit the amount of time that can be worked daily and weekly, and set out entitlements to minimum rest periods, minimum rest breaks and a minimum amount of paid holiday. The working time limits are mandatory but rest periods, breaks and holidays are entitlements. Employees can choose not to take their entitlements but an employer must not prevent an employee from taking them.

The term 'worker' has a broader definition than 'employee', therefore anybody who works under a contract of employment or a contract to provide any other service for a third party is included within the scope of these Regulations.

Variation of some of the provisions of the Regulations is permitted for certain kinds of activity and when a collective or workforce agreement is in place.

The NTF and NASS have concluded a collective agreement, which enables members to obtain the maximum flexibility from these Regulations. Details on this agreement can be found on page 92.

The basic interpretation of the Working Time Regulations is as follows:

Adult Workers

Maximum Weekly Working Time

A worker's weekly working time, including overtime, shall not exceed an average of 48 hours for each seven days, applied over a 17-week reference period. However, individual employees whose working time is likely to exceed an average of 48 hours over 52 weeks, may be excluded from the regulation provided:

They sign an opt out agreement (see Appendix A for model opt out agreement and covering letter). The employer maintains up to date records which:

- a) Identify each employee who has signed an opt out agreement
- b) Set out any terms on which the employee has agreed the limits should not apply.

Daily and Weekly Rest Breaks

An adult worker is entitled to a rest period of not less than 11 consecutive hours in each 24 hour period during which he/she works for the employer. An adult worker is entitled to an uninterrupted rest period of not less than 24 hours in each 7 day period in which working for the employer or one uninterrupted rest period of not less than 48 hours in each 14 day period.





Night Working

A worker is a night worker when working at least three hours of the daily working time during night time as a normal course, i.e. on a regular rather than occasional basis. Night time is the period of 11pm - 6am unless otherwise agreed and must include the period between 12 midnight and 5am.

An employer must not assign a worker to night work unless the employer has given the worker the opportunity to have a free health check. There is no need to offer an assessment if the worker had an assessment when assigned to night work on a previous occasion and the employer has no reason to believe the original assessment is no longer valid. The health assessment can usually be limited to asking the worker to complete a questionnaire that asks specific questions about health that are relevant to the type of night work. A medical examination will only be necessary where the questionnaire leaves the employer in doubt as to the worker's fitness for night working.

Young Workers

A 'young worker' is defined as an individual who has attained the age of 15 but not the age of 18 and is over the compulsory school age.

Daily and Weekly Limits

A young worker is permitted to work a maximum of 8 hours a day (a day being a period of 24 hours beginning at midnight).

A young worker is permitted to work a maximum of 40 hours per week (a week starts at midnight between Sunday and Monday).

The young worker cannot opt out of these limits nor can the period be averaged out. There are, however, two exceptions to the limits:

1. Continuity of Service

A young worker is not bound by the limits if satisfying all three of the following requirements:

- the young worker's employer requires them to undertake work that is necessary in order to maintain continuity of service or production or to respond to a surge in demand for a service or product and
- no adult worker is available to perform the work and
- performing the work would not adversely affect the young worker's education or learning/training.

2. Force Majeure

A young worker is not bound by the daily or weekly limit where an employer requires the young worker to carry out work which no adult worker is available to perform and is occasioned by either:

- an occurrence due to unusual and unforeseeable circumstances, beyond the employer's control or
- by exceptional events, the consequences of which could not have been avoided despite the exercise of all due care by the employer **and**
- is of a temporary nature **and**
- must be performed immediately.





This is quite a narrow exception and will only cover unusual one off occurrences.

With regard to daily limits, if the young worker satisfies either of the exceptions, then they are governed by the regulations relating to workers generally, i.e. an average of 8 hours a day rather than a maximum of 8 hours a day.

With regard to weekly limits, if the young worker satisfies either exception, the situation is then governed by the rules applying to workers generally meaning a limit of an average of 48 hours per week including overtime for each 7 days referenced over a period of normally 17 weeks but extended by agreement between the NTF and the NASS to a reference period of 52 weeks. If the young worker satisfies the exception, they may agree in writing to exclude the 48 hour limit either in relation to a specified period or indefinitely by opting out. Unless a longer notice period has been agreed, any such opting out is terminable by the worker on giving not less than 7 days' notice to the employer in writing.

Daily and Weekly Rest Breaks - Young Workers

A young worker is entitled to a rest period of not less than 12 consecutive hours in each 24 hour period during which working for the employer. Regulation 10 (3) states the rest period may be interrupted in the case of activities involving periods of work that are split up over the day. A young worker is entitled to a rest period of not less than 48 hours in each 7 day period working for the employer. Regulation 11(8)(b) states that this entitlement may be reduced to 36 consecutive hours for technical or organisational reasons which the training industry will be able to justify.

Limit on Night Time Working - Young Workers

A young worker must not work between 10pm and 6am (or if the worker's contract provides for them to work after 10pm, the period between 11pm and 7am).

The force majeure exception and a continuity of service exception applies.

The continuity of service exception applies if the young worker is employed in "connection with sporting activities" and meets all three of the following requirements:

- the work is necessary in order to maintain continuity of service or production or to respond to a surge in demand or production and
- no adult worker is available to perform the work and
- performing the work would not adversely affect the young worker's education or learning/training

The young worker is then not bound by the prohibition on 'night working' but the employer must still not assign a young worker to work during the restricted period on any more than an exceptional basis unless he/she has ensured that the young worker will have the opportunity of a free assessment of their health and capacities before taking up the assignment or the young worker has had an assessment of their health and capacities before being assigned to work during the restricted period on an earlier occasion and the employer has no reason to believe that the assessment is no longer valid.

A young worker who is not prevented from working at night is then subject to the general regulations on night work.





All Workers

Holidays

By law a worker is entitled to a minimum of 5.6 weeks paid holiday a year, capped at 28 days for those working more than a 5 day week. The NTF and NASS under their collective agreement have agreed a minimum holiday entitlement of 30 days per annum to include bank and public holidays, with additional holiday entitlement with length of service.

Except in some specific circumstances where holiday has not been taken due to sickness absence or maternity, paternity or adoption leave the holiday can only be taken in the leave year in which it is due and no part of the minimum 5.6 weeks holiday may be replaced by payment in lieu except when the worker's employment is terminated.

Record Keeping

There is a general obligation for employers to keep and retain records to show that they have complied with the limit on night working hours and the maximum weekly limit. An example weekly time sheet follows. All records must be kept for two years but employers may prefer to keep for at least six years as recommended by the Data Protection Act (1998).

Employers however are no longer required to keep records of the working time of those employees who have opted out of the 48 hour limit. They are required to keep a list of those workers who have opted out and a copy of the original agreement signed by the worker.

Records are not required to record rest periods, rest breaks or annual leave.

Drivers Hours - Maximum Working Time

Set out below is a summary of drivers' hours for goods vehicles in the UK and Europe. These apply to both employed and self-employed drivers. Self-employed drivers must keep records to show compliance for at least two years.

Limit: 9 hours per day or 10 hours twice a week.

Breaks: 45 minutes after 4 ½ hours driving. May only be split into two periods, first period must be at least 15 minutes and second must be at least 30 minutes.

A break may be taken in a moving vehicle, provided no other work is undertaken.

Rest: Minimum daily rest of 11 consecutive hours during which vehicle must be stationary and driver is free to use his time as desired.

"This may be reduced to 9 hours no more than three times between any two rest periods. There is no compensation required. For a split daily rest period of 12 hours, this can be taken in two periods. The first period must be at least 3 hours and the second at least 9 hours."

Period: Daily rest periods apply to a 24 hour period beginning when the driver first comes on duty (i.e. when he/she starts work not when he/she starts driving.)

Weekly rest: "The weekly regular rest period is 45 hours. This is reducible to a period of less than 45 hours but at least 24 hours. In any two consecutive weeks, a driver shall take at least two regular weekly rest periods, or one regular weekly rest period and one reduced weekly rest period of at least 24 hours. If the reduced period is taken, then the reduction shall be compensated by an equivalent period of rest taken en bloc before the end of the third week following the week in question."





Transport by ferry or train

Where a driver accompanies a vehicle that is being transported by ferry or train the daily rest requirements are more flexible. A regular daily rest period may be interrupted no more than twice, but the total interruption must not exceed 1 hour in total. This allows a vehicle to be driven on to a ferry or train and off again at the end of the crossing or journey. Where the rest period is interrupted in this way, the total accumulated rest period must still be 11 hours. A bunk or couchette must be available during the rest period.

Unforeseen Events and Emergencies:

Provided road safety is not jeopardised and to enable reaching a suitable stopping place, a driver may depart from the rules. He/she should note all the reasons for doing so on the back of the tachograph record sheet. Repeated and regular occurrences, however, might indicate to enforcement officers that employers are not in fact scheduling work to enable compliance with the applicable rules.

In addition the Road Transport (Working Time) Regulations 2005 state that mobile workers cannot work more than an average 48 hours per week. Employees cannot opt out of these limits. The average is referenced over a period of 26 weeks by agreement between the NTF and the NASS. Mobile workers can work up to a maximum of 60 hours in any single week provided that the average 48 hour week is not exceeded in each reference period.

There is an exception from these working time limits for occasional drivers - these are drivers who do not drive on more than 15 occasions in the reference period of 26 weeks. For the calculation of working time for drivers' hours, lunch and other breaks and periods of availability are excluded. Periods of availability are paid time when the worker is not required to remain at his workstation but must be available to answer calls to start work or resume driving on request. The period and the reasonably foreseeable duration should be known in advance either before departure or just before the start of the period in question.

VOSA provide detailed guidance on the Rules on Driver Hours and Tachographs which is available from their website, www.vosa.gov.uk.





**NTF / NASS EMPLOYMENT GUIDELINES
FOR STABLE STAFF
NATIONAL JOINT COUNCIL FOR STABLE STAFF**

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Chief Executive
National Trainers Federation
9 High Street
Lambourn, Hungerford
Berkshire RG17 8XN
Tel: 01488 71719

George McGrath
Chief Executive
National Association of Stable Staff
The New Astley Club
Fred Archer Way
Newmarket
Suffolk
CB8 8NT
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INTRODUCTION

To help the membership, the NTF executive and its employment advisors met with the NASS and reached certain collective agreements. These are for a 52-week reference period, amended holiday arrangements and a precise definition for the start of the working week. The starting time for a seven-day period for the provision of weekly rest breaks shall be 7am Monday unless a different time is defined as appropriate. We have also explained to NASS the advice we will be giving members in respect of daily and weekly rest breaks and it confirms that it is in agreement with this advice.

MAXIMUM WEEKLY WORKING TIME

Legal Provision

An Adult Worker's weekly working time, including overtime shall not exceed an average of 48 hours for each seven days, applied over a 17-week reference period. An adult worker is one aged 18 or over.

Agreement

The NTF and NASS have reached a collective agreement under clause 23 (b) of the regulations stating that due to technical and objective reasons concerning the organization of work the 17-week reference period is replaced with successive fixed reference periods of 52 weeks from 5 October 1998.

Opt Out

The regulations also allow for individual employees whose working time is likely to exceed an average of 48 hours over 52 weeks to be excluded from the regulation provided:

1. They sign an opt out agreement (model opt out agreement and covering letter provided at appendix A).
2. Up to date records are kept which:
 - a) Identify each employee who has signed an opt out agreement
 - b) Set out any terms on which the employee has agreed the limits should not apply





DAILY AND WEEKLY REST BREAKS - ADULT WORKERS

Legal Provision

An adult worker is entitled to a rest period of not less than 11 consecutive hours in each 24-hour period during which he works for his employer. An adult worker is entitled to an uninterrupted rest period of not less than 24 hours in each 7-day period in which he works for his employer or one uninterrupted rest period of not less than 48 hours in each 14-day period.

Advice

Regulation 22(1)(c) states that daily and weekly rest breaks do not apply to adult workers engaged in activities involving periods of work split up over the day, providing that compensatory rest is provided. This means that time off in the middle of the day or time not working at the races will count as compensatory rest periods towards meeting the 11-hour entitlements.

The weekly rest period (24 hours) must normally be taken in addition to the daily rest period (11 hours) so that an adult worker would normally be entitled to one rest period of at least 35 consecutive hours each week. However, the daily rest period can be excluded where it is justified by objective or technical reasons or reasons concerning the organisation or work. The training industry can justify such exclusion. Regulation 22(1)(c) also applies so that time off in the middle of the day or time not working at the races will count as compensatory rest periods towards meeting the 24-hour entitlement.

DAILY AND WEEKLY REST BREAKS - YOUNG WORKERS

Legal Provision

A young worker is defined as an individual who has attained the age of 15 but not after the age of 18. A young worker is entitled to a rest period of not less than 12 consecutive hours in each 24-hour period during which he works for his employer. Regulation 10(3) states the rest period may be interrupted in the case of activities involving periods of work that are split up over the day. A young worker is entitled to a rest period of not less than 48 hours in each 7-day period, which he works for his employer. Regulation 11(8)(b) states that this entitlement may be reduced to 36 consecutive hours for technical or organisational reasons which the training industry will be able to justify.

Agreement

In order to achieve maximum flexibility the NTF and NASS have reached a collective agreement under clause 11(4)(a) that a 7-day period for the calculation of weekly rest for young workers shall commence at 7am unless defined at yard level.

Advice

The daily rest period of 12 hours may be interrupted where periods of work are split up over the day. This means that time off in the middle of the day or time not working at the races can count towards the daily rest period.

The entitlement of 36 consecutive hours in a 7-day period creates a problem with young people working weekends as they have an entitlement to cease work 36 hours before they are due to start on Monday morning. They can waive this entitlement if they choose and volunteer to work on Sundays. Young workers should not ordinarily work more than 8 hours a day nor more than 40 hours a week and young workers cannot opt out of the 40-hour limited.





HOLIDAYS

Legal Provision

By law a worker is entitled to a minimum of 5.6 weeks paid holiday a year, capped at 28 days for those working more than a 5 day week. The NTF and NASS under their collective agreement have agreed a minimum holiday entitlement of 30 days per annum to include bank and public holidays, with additional holiday entitlement with length of service.

Except in some specific circumstances where holiday has not been taken due to sickness absence or maternity, paternity or adoption leave the holiday can only be taken in the leave year in which it was due and no part of the minimum 5.6 weeks holiday may be replaced by payment in lieu except when the worker's employment is terminated.

Advice

Trainers can choose which holiday year suits their circumstances and must advise staff of the holiday year applicable to their employment.

Annual leave is an entitlement. If an employee requests that any holiday in excess of the 5.6 weeks entitlement is carried over to another year or is paid in lieu, then the employer can agree to that request.

Where a worker is expected to work on any day which is a bank or public holiday an alternative day will be taken to be mutually agreed.

Trainers and workers should refer to the NTF/NASS collective agreement from time to time in force for further detailed information on holiday entitlement.

For advice on specific holiday issues available from the NTF and NASS or from government websites such as www.businesslink.gov.uk and www.acas.org.uk.





RECORD KEEPING

Legal provision

There is a general obligation for employers to keep and retain records to show that the hourly limits on working time are complied with.

Advice

The employer must keep and retain records adequate to show that the hourly limit on working time has not been exceeded. In circumstances where employees keep regular hours but that are less than 48 hours per week (e.g. 7am - 12.30pm excluding half hour for breakfast (Monday - Saturday 4pm - 6pm (Monday - Friday) plus one weekend in two) an employer could require employees to notify them that they are working in excess of 48 hours per week, perhaps on a pre-printed form. An employer adopting this system should also regularly remind employees of the requirement to complete the form, perhaps on a notice board in the tack room or in a statement in the pay packet. Having reviewed the completed forms, or taken into account the lack of them, the employer can then take a view as to whether there is any risk of the working times being infringed. Records relating to the hours of work of only those employees who completed the form would then be maintained whereas the employer could rely on the standard contractual hours as the records in other cases. If the forms show that an employee is regularly working more than 48 hours the employer will need to monitor that employee's hours much more closely and take appropriate action.

The following calculation should be used to calculate the average working time per seven days in each reference period (52 weeks from 5 October).

The formula used is $\frac{A + B}{C}$ where:

A is the number of hours worked during the reference period

B is the number of hours worked in the period equivalent to the excluded days; *

C is the number of weeks in the reference period (52)

* Excluded Days - statutory leave, sickness absence and maternity absence will be excluded from the hours counted in a particular reference period. The number of hours worked in the equivalent number of days when the employee is at work immediately following the reference period will be included in their place. Therefore, if a worker normally works from Monday to Saturday lunchtime and has taken a week's statutory leave during the reference period, five and a half days (not seven days) will be excluded days. The first five and a half days on which the worker works after the end of the reference period will replace these excluded days.





**APPENDIX A
LETTER TO NTF MEMBERS ON THE IMPLEMENTATION OF THE EUROPEAN
WORKING TIME DIRECTIVE - 1 OCTOBER 1998**

(Specimen letter to accompany individual opt out agreement as shown overleaf)

Date:

Address:

Dear (name of employee)

I am writing to confirm what we discussed about individual opt out agreements from the limits on weekly working time in the Working Time Regulations.

The National Joint Council for Stable Staff believes that its established working hours suit both employees' and employers' needs well. The Working Time Regulations 1998 state that an employee cannot be required to work for more than 48 hours a week, unless he/she signs an individual opt out agreement, agreeing that this limit will not apply to him/her.

If you would like to continue to work more than 48 hours a week from time to time you will need to sign and return the enclosed agreement to me. The sole purpose of the agreement is to ensure that our current working practices comply with the law. **There will be no change to your terms and conditions as a result.**

If you have any concerns about this agreement, please discuss them with me.

Yours sincerely

(Name of employer)

Enc:





INDIVIDUAL OPT OUT AGREEMENT

Agreement to Opt Out of Regulation 4(1) of the Working Time Regulations 1998 about Maximum Weekly Working Time

I (name of employee) of (address of employee) agree with (name of employer) of (address of employer) that the limit in regulation 4(1) of the Working Time Regulations 1998 shall not apply to me and that my average working time may therefore exceed 48 hours for each seven-day period (as defined by and calculated in accordance with the Working Time Regulations 1998).

1. This agreement shall apply from (date) until (date).
2. I agree that I will comply with any and all policies of the employer from time to time in force, which relate to its maintenance of records of my hours of work.
3. This agreement can be terminated by me giving three months notice in writing to the employer.

Signed:Dated:

(Name of employee)

Signed:Dated:

(Name of employer)



Your Useful Contacts



YOUR USEFUL CONTACTS

For information, guidance and advice on all health and safety matters, visit the Health and Safety Executive website at www.hse.gov.uk

HSE BOOKS

Helpline: 01787 884 148

HSE BOOKS

PO Box 1999

Sudbury

Suffolk CO10 2WA

Tel: 01787 881 165

Fax: 0845 300 9924

Email: hsebooks@prolog.uk.com

Website:

www.hsebooks.co.uk

HSE INCIDENT

CONTACT CENTRE

HSE Incident Contact Centre

Tel: 0845 300 9923

Fax: 01787 313 995

Online reporting

www.hse.gov.uk/riddor/index.htm

RACING AND BREEDING INDUSTRY

British Horseracing Authority

75 High Holborn

London

WC1V 6LS

Tel: 020 7152 0000

www.britishhorseracing.com

National Trainers Federation

9 High Street

Lambourn

Hungerford

Berkshire, RG17 8XN

Tel: 01488 71719

www.racehorsetrainers.org

The National Stud

Newmarket

Suffolk

CB8 0XE

Tel: 01638 663464

www.nationalstud.co.uk

National Association of Stable Staff

The New Astley Club

Fred Archer Way

Newmarket

Suffolk

CB8 8NT

Tel: 01638 663411

www.naoss.co.uk

Thoroughbred Breeders' Association

Stanstead House

The Avenue

Newmarket

Suffolk

CB8 9AA

Tel: 01638 661321

www.thetba.co.uk

Northern Racing College

The Stables

Rossington Hall

Great North Road

Doncaster

South Yorkshire

DN11 0HN

Tel: 01302 861000

www.northernracingcollege.co.uk

British Racing School

Snailwell Road

Newmarket

Suffolk

CB8 7NU

Tel: 01638 665103

www.brs.org.uk

Racing Welfare

Robin McAlpine House

20b Park Lane

Newmarket

Suffolk

CB8 8QD

Tel: 01638 560 763

Helpline: 0800 6300 443

www.racingwelfare.co.uk







Vet:

Farrier:

Local hospital:

Doctor's surgery:

Insurance company:

