

A photograph of a horse racing track. In the foreground, a green safety fence runs diagonally across the frame. Behind the fence, a red target sign with a white bullseye is mounted on a white pole. The track itself is a wide, green grassy area with visible mowed stripes. In the background, there are some buildings and a cloudy sky.

Regulation

Tim Naylor – Head of Regulation

Regulation

- 1. The Team**
- 2. Current Process**
- 3. Christopher Quinlan QC Recommendations**
- 4. Future Challenges**
- 5. Questions**

Regulation Team

Comprises former Disciplinary and Compliance departments. In process of merging into one regulatory team.

- **Raceday:**
Lauren Robinson
Lyn Williams
Patricia Hill
- **Legal Advisors:**
Danielle Sharkey
Andy Howell
George Coombs
Graham Gilbert (Seconded)



Current Process – Raceday Issues



The Raceday Executives are the contact points for all regulatory issues arising on the racecourse. These include:

- **Appeals**
- **Referrals**
- **Adhoc incidents**

Focus is on dealing with matters expeditiously in line with the Rules of Racing.

Rule (A) 82 and Schedule (B) 1

Current Process – Integrity Issues

Matters investigated by Integrity are passed to the Regulatory team for charging advice, case management and presentation before the Disciplinary Panel.

- **Corruption**

Most complex and serious cases. Lengthy investigation and detailed presentation.

- **Anti-doping**

Equine positives comprised the majority of cases before the Disciplinary Panel so far in 2017.

- **Miscellaneous Rule Breaches**



Guide to
Procedures and Penalties
2017

An Explanatory Guide
to Assist Effective
Enforcement of the Rules

Current Process

A legal advisor is now assigned to every investigation instigated by the Integrity team.

- 1) Charging advice provided following completion of the investigation.
- 2) Case summary, charges and bundles produced and sent out.
- 3) **Schedule (A) 6** responses received.
- 4) Case presented before the Disciplinary Panel.



Christopher Quinlan QC Recommendations

Two key recommendations:

- **Disclosure Policy**
 - Unique in a sporting environment.
 - Principles of natural justice and fairness.
 - Transparency and Consistency.
- **Fast Track**
 - Not completely new, current cases dealt with on papers/telephone.
 - Save time, resources and expense for everyone. (Stakeholder support)
 - Trial process commencing August 2017.
 - “Green Wave” breaches to be dealt with administratively.
 - “Amber Wave” – System of checks and balance.

Future Challenges – Core Values



Integrity

Accountable

Credible

Responsive

Progressive

Challenges

- Clear historic aged cases.
- Implement Quinlan Recommendations.
- Build trust and respect from participants.
- Training and experience.
- Model for Sporting Regulators.
- **Transparency and Consistency.**



Any questions?