





Regulation

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Regulation Team

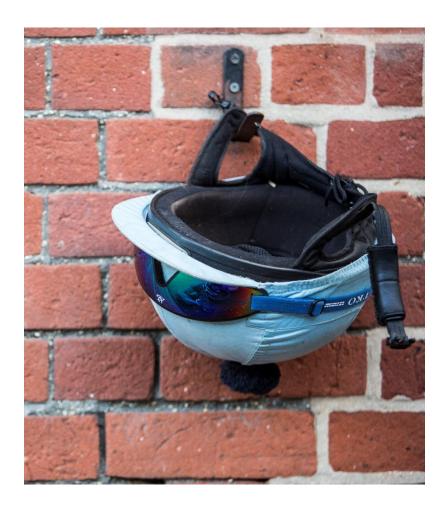
Comprises former Disciplinary and Compliance departments. In process of merging into one regulatory team.

Raceday:

Lauren Robinson Lyn Williams Patricia Hill

Legal Advisors:

Danielle Sharkey
Andy Howell
George Coombs
Graham Gilbert (Secondee)





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.
- <u>Transparency and Consistency</u>.

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?