

CHANNEL ISLANDS HORSERACING AUTHORITY – (A) GENERAL MANUAL

PART 1 – INTRODUCTORY PROVISIONS **4**

1. THE CHANNEL ISLANDS HORSERACING AUTHORITY 4
2. PERSONS SUBJECT TO THESE RULES 4
3. SCHEME 5

PART 2 – GENERAL FUNCTIONS OF THE AUTHORITY **7**

4. GENERAL FUNCTIONS OF THE AUTHORITY 7
5. GENERAL RULE-MAKING FUNCTIONS 7
6. COMPLIANCE 8
7. AUTHORISATIONS REQUIRED UNDER THESE RULES 8
8. RACE ADMINISTRATION 8
9. APPOINTING OFFICIALS 8
10. FEES 9
11. SUPPLEMENTARY POWERS 9

PART 3 – LICENCES AND REGISTRATION **11**

12. SCHEME OF THIS PART 11
13. TRAINER'S LICENCES 11
14. RIDER'S LICENCES AND REGISTRATION 11
15. RACECOURSE LICENCES 12
16. THE AUTHORITY'S GENERAL FUNCTIONS AS TO REGISTRATION 12
17. REGISTER OF HORSE NAMES 13
18. REGISTER OF OWNERS 13
19. APPLICATION PROCEDURES FOR PERSONS REQUIRING LICENCES OR REGISTRATION 13
20. THE AUTHORITY'S GENERAL POWERS AS TO LICENCES 14
21. THE AUTHORITY'S GENERAL POWERS AS TO REGISTRATION 14

PART 4 – GENERAL REQUIREMENTS AS TO CONDUCT **16**

22. ENTERING OR RUNNING A HORSE NOT QUALIFIED TO RACE 16
23. CONDUCT PREJUDICIAL TO HORSERACING 16
24. CONDUCT OBSTRUCTING THE PROPER ADMINISTRATION OR CONTROL OF RACING 16
25. VIOLENT OR IMPROPER BEHAVIOUR ON RACECOURSE ETC 17
26. OFFERING OR ACCEPTING BRIBES 17
27. OFFERING REWARDS FOR AMATEUR RIDERS 17
28. PLACING BETS 18
29. COMMUNICATION OF INSIDE INFORMATION 18
30. ASSISTING, ENCOURAGING OR CAUSING RULE CONTRAVENTIONS 18
31. PARTICIPATION AT UNRECOGNISED MEETINGS 18
32. REQUIREMENT TO COMPLY WITH CONTROLS ON SPONSORSHIP 19
33. CONVICTION OF CRIMINAL OFFENCE CONNECTED WITH RACING 19
34. INVOLVEMENT IN CORRUPT OR FRAUDULENT PRACTICES IN RELATION TO RACING 19
35. DISCLOSURE OF UNACCEPTABLE CONDUCT 19

PART 5 – ENQUIRIES AND INVESTIGATIONS **20**

36. APPLICATION OF THIS PART	20
37. ENQUIRIES	20
38. REQUIREMENT TO CO-OPERATE WITH ENQUIRIES	20
39. CONDUCT OF ENQUIRIES AND COSTS	21
40. CONSIDERATION OF EVIDENCE	22
41. APPOINTMENT OF APPROVED PERSONS	22
42. POWERS TO SEARCH TRAINING PREMISES	23
43. REQUIREMENT TO PROVIDE INFORMATION OR RECORDS	23
44. RULE 43: SUPPLEMENTARY PROVISIONS	24

PART 6 – DISCIPLINARY ACTION **26**

45. GENERAL POWER TO DEAL WITH MATTERS RELATING TO RACING	26
46. POWERS TO TAKE DISCIPLINARY ACTION AGAINST A PERSON FOR CONTRAVENTION OF THESE RULES	26
47. CAUTIONS	27
48. FINANCIAL PENALTIES	27
49. SUSPENSION OR WITHDRAWAL OF LICENCE OR PERMIT	28
50. DECLARATION OF INELIGIBILITY FOR LICENCE OR REGISTRATION	28
51. DECLARATION OF DISQUALIFICATION OF PERSONS	28
52. ADDITIONAL PENALTIES: TRAINERS	28
53. ADDITIONAL PENALTIES: RIDER TO ATTEND REMEDIAL TRAINING	29
54. ADDITIONAL PENALTIES: RIDER'S SUSPENSION EXTENDED TO ALL RACECOURSES	29
55. RULE 54: EXCEPTED CASES	29
56. POWERS TO SUSPEND OR WITHDRAW LICENCES ON GROUNDS OTHER THAN RULE CONTRAVENTION	30
57. POWER TO ISSUE EXCLUSION ORDERS	30
58. POWER TO PROHIBIT OVERSEAS RIDERS FROM RIDING IN RACES UNDER THESE RULES	30
59. PERSON WHOSE NAME APPEARS ON THE FORFEIT LIST	31
60. PERSON WHOSE NAME APPEARS IN OFFICIAL FORFEIT LIST OF RECOGNISED RACING AUTHORITY	31
61. PERSON DISQUALIFIED BY ORDER OF A RECOGNISED RACING AUTHORITY	31
62. JOCKEY OR AMATEUR RIDER SUSPENDED BY RECOGNISED RACING AUTHORITY	32
63. CONSEQUENCES OF BEING A DISQUALIFIED PERSON	34
64. WITHDRAWAL OR SUSPENSION OF LICENCE: SUPPLEMENTARY PROVISIONS	35
65. GENERAL POWERS TO DISQUALIFY A HORSE OR SUSPEND IT FROM RUNNING	35
66. DISQUALIFICATION OF HORSES IN RACES ALREADY RUN	36
67. SUSPENSION OF HORSES FROM RUNNING IN FUTURE RACES	39

PART 7 – APPEALS **41**

68. APPEALS TO THE AUTHORITY FROM STEWARDS' DECISIONS	41
69. REQUIREMENT TO CO-OPERATE FOR THE PURPOSES OF AN APPEAL	41
70. BRINGING AN APPEAL	41
71. SUBMISSION OF WRITTEN EVIDENCE	42
72. CONSIDERATION BY THE AUTHORITY	42
73. IMPLEMENTATION OF DECISION TO SUSPEND A HORSE FOR FUTURE RACES	43
74. IMPLEMENTATION OF DECISION TO SUSPEND A RIDER	43
75. POWER TO PROVIDE FOR APPEALS TO AN APPEAL BOARD	43
76. APPEAL BOARDS	44

77. IMPLEMENTING DECISIONS SUBJECT TO RIGHT OF APPEAL	44
78. IMPLEMENTING DECISION OF APPEAL BOARD	45
PART 8 – SPECIFIC FUNCTIONS OF THE AUTHORITY	46
79. MAINTAINING THE FORFEIT LIST	46
80. CONTROLS ON RACE CONDITIONS AND SPONSORSHIP	46
81. MANAGING THE NUMBERS OF HORSES RUNNING IN A RACE	46
82. PROHIBITING CERTAIN EQUIPMENT USED FOR RACING	46
83. MAINTAINING THE LIST OF RECOGNISED RACING AUTHORITIES	46
84. POWERS IN RELATION TO AUTHORISED AGENTS	47
85. REGULATION OF POINT-TO-POINT STEEPLE CHASING	47
86. MAINTAINING THE GENERAL STUD BOOK	47
PART 9 – MISCELLANEOUS	48
87. POWERS TO PUBLISH INFORMATION	48
88. DELEGATION OF FUNCTIONS	48
89. DELEGATION: RIGHT OF RECONSIDERATION	48
90. EXCLUSION OF LIABILITY	49
PART 10 – SUPPLEMENTARY	50
91. THE GIVING OF NOTICES, DIRECTIONS AND OTHER DOCUMENTS	50
92. THE GIVING OF NOTICES, DIRECTIONS AND OTHER DOCUMENTS IN ELECTRONIC FORM	50
93. DEEMED SERVICE OF NOTICES, DIRECTIONS AND OTHER DOCUMENTS	51
94. COMPUTATION OF TIME	51
95. PUBLICATION OF RULES, REGULATIONS OR GUIDANCE	52
96. MEANING OF RIDER	52
97. REFERENCES TO JOCKEYS	52
98. REFERENCE TO OTHER TYPES OF RIDER	52
99. OTHER DEFINITIONS	53
SCHEDULE 1 - FEES	56
SCHEDULE 2 – INFORMATION REGARDED AS IN THE PUBLIC DOMAIN	58
SCHEDULE 3 – DISCIPLINARY PANELS	59
SCHEDULE 4 – APPEAL BOARDS	67
SCHEDULE 5 – RECOGNISED RACING AUTHORITIES	80
SCHEDULE 6 – LICENSING AND REGISTRATIONS	84
INDEX OF DEFINED EXPRESSIONS	85

PART 1 – INTRODUCTORY PROVISIONS

1. The Channel Islands Horseracing Authority

- 1.1. By the revocable authority of the CIRHC all functions relating to the governance and regulation of horseracing in the Channel Islands are delegated to, and exercisable by, the Channel Islands Horseracing Authority (referred to in these Rules as the “Authority”).
- 1.2. This includes all matters now or in the future contained or to be contained in these Rules.
- 1.3. The Authority is a committee of the CIRHC established with its own constitution by unanimous resolution of the CIRHC’s executive committee on 25 October 2018.
- 1.4. References in these Rules to Horserace are to any race in which a horse runs with any other horse either
 - 1.4.1. in competition for any prize of any kind or nature whatsoever, or
 - 1.4.2. for the purposes of deciding the result of any bet or wager,and at which more than twenty Persons (not including participants in the race) are present.
- 1.5. For the purposes of Paragraph 1.4, events at horse shows or gymkhanas which are restricted to children under 18 years of age or which involve a substantial element of chance or skill unconnected with horse-riding shall not be regarded as horseraces.

2. Persons subject to these Rules

- 2.1. These Rules apply to:
 - 2.1.1. all Persons who have agreed to be bound by these Rules,
 - 2.1.2. the owner and any Person who is any way legally interested in, directly or indirectly, or who plays an active part in managing a horse which is entered to run under these Rules wherever trained,
 - 2.1.3. the riders and trainers of such horses,
 - 2.1.4. the employees and officers (or, if from overseas, the local equivalent) of Persons referred to in Paragraphs 2.1.2 and 2.1.3,
 - 2.1.5. any Overseas Rider who rides in a race run under these Rules, and
 - 2.1.6. any Person within Paragraph 2.2.
- 2.2. A Person who, but for this Paragraph, would have ceased to be subject to these Rules shall remain subject to them:

- 2.2.1. to the extent necessary to enable the Authority to investigate and take Disciplinary Action, and for the hearing of appeals under Part 7, as regards any event or events which
 - 2.2.1.1. took place whilst that Person was still subject to these Rules, and
 - 2.2.1.2. is or are relevant to a contravention, or alleged contravention of these Rules, whether committed by that Person or by someone else,
- 2.2.2. to the extent necessary to enable the Authority to investigate and take Disciplinary Action as regards any activity carried out by that Person which purports to be have been done under a licence granted to that Person by the Authority but after the licence has ceased to be valid, or
- 2.2.3. for so long as any Arrears are due from that Person under these Rules.
- 2.3. Persons who are or have been subject to these Rules are deemed to have knowledge of them, including any amendments.
- 2.4. Every Person who is subject to these Rules:
 - 2.4.1. must comply with them at all times,
 - 2.4.2. must comply with any directions, instructions or General Instructions given by the Authority as to the operation of these Rules, and
 - 2.4.3. must comply with the instructions of the Stewards.
- 2.5. Paragraph 2.4.1 does not apply to the extent that the Authority does not require compliance with any particular Rule.
- 2.6. A Person is liable to Disciplinary Action if
 - 2.6.1. he contravenes a requirement imposed on him by or under a provision in this Manual or by any other provisions of these Rules,
 - 2.6.2. any provision of these Rules states that he is taken to have contravened any such requirement, or
 - 2.6.3. any provision of these Rules states that he is liable to Disciplinary Action.
- 2.7. Disciplinary Action may also be taken against a Person in any of the circumstances specified in Rules 56 to 62 of Part 6.
- 2.8. Where any Person behaves in such manner as the Authority considers to be contrary to the interests of racing that Person is liable under Rule 57 to exclusion from any premises licensed by the Authority.

3. Scheme

- 3.1. This Manual has effect for the purposes of establishing the framework for the governance and regulation of horse racing.
- 3.2. It includes provisions:
 - 3.2.1. about the functions of the Authority and the discharge of those functions,
 - 3.2.2. requiring certain participants in racing to hold a licence granted by the Authority,
 - 3.2.3. requiring racecourses to be licensed by the Authority,
 - 3.2.4. requiring the registration of horse names and horse owners
 - 3.2.5. prohibiting certain conduct by Persons subject to these Rules,
 - 3.2.6. for the Authority to obtain information, hold enquiries and take Disciplinary Action for the purpose of discharging its functions, and
 - 3.2.7. for appeals to be made to the Authority or to an Appeal Board.

PART 2 – GENERAL FUNCTIONS OF THE AUTHORITY

4. General Functions of the Authority

4.1. The Authority has the following general functions:

- 4.1.1. making Rules relating to the governance and regulation of horse racing,
- 4.1.2. enforcing such Rules,
- 4.1.3. granting, refusing and withdrawing authorisations required by the Rules,
- 4.1.4. the administration of races,
- 4.1.5. appointing officials for races, and
- 4.1.6. determining when fees are payable and the level of fees.

4.2. The Authority also has:

- 4.2.1. the specific functions in Part 8, and
- 4.2.2. such other functions as may be specified in any other provision of these Rules.

5. General Rule-making functions

5.1. The Authority's Rule-making functions include:

- 5.1.1. making Rules, and
- 5.1.2. giving guidance in relation to Rules.

5.2. In particular, the Authority may from time to time

- 5.2.1. add new provision to these Rules,
- 5.2.2. modify or delete an existing provision,
- 5.2.3. suspend any existing provision for such period or periods as the Authority may determine,
- 5.2.4. issue guidance to ensure compliance with any Rule,
- 5.2.5. issue guidance to prevent an anticipated contravention of any Rule,
- 5.2.6. give recommendations as to Disciplinary Action (including the imposition of disciplinary penalties) for contravention of these Rules generally, or of particular Rules, and
- 5.2.7. modify or delete any existing guidance or recommendations.

5.3. Any Rules made by the Authority for the purpose of discharging its functions may:

- 5.3.1. contain such incidental, supplemental, consequential or transitional provision as the Authority considers appropriate, and
- 5.3.2. make different provision for different cases.

6. Compliance

6.1. The Authority's compliance functions for the purpose of enforcing these Rules and otherwise discharging its functions include:

- 6.1.1. gathering information,
- 6.1.2. carrying out enquiries and investigations,
- 6.1.3. taking Disciplinary Action,
- 6.1.4. the oversight of decisions taken by Judges, Clerk of the Scales and Stewards, and
- 6.1.5. determining objections made to the Authority in connection with racing.

7. Authorisations required under these Rules

7.1. The Authority's functions as to authorisations include

- 7.1.1. granting, refusing, withdrawing and suspending licences required by these Rules,
- 7.1.2. maintaining any register required by these Rules, and
- 7.1.3. giving, refusing or withdrawing any other approval or authority required by these Rules.

8. Race administration

8.1. The Authority's functions as to race administration includes:

- 8.1.1. authorising race meetings and other fixtures, and
- 8.1.2. overseeing the conduct of meetings and fixtures.

8.2. Further provision as to race administration is contained in the Race Administration Manual (F).

9. Appointing officials

9.1. The Authority shall be responsible for the appointment of the following officials:

- 9.1.1. the Handicapper; and
- 9.1.2. the Stewards of the meeting.

9.2. The Racecourse Managing Executive shall be responsible for the appointment of the following officials at a race meeting:

- 9.2.1. Clerk of the Course
- 9.2.2. Clerk of the Scales;
- 9.2.3. Starter;
- 9.2.4. Judge;

- 9.2.5. Farrier;
- 9.2.6. Medical Officer
- 9.2.7. Veterinary Officer;
- 9.2.8. Veterinary Surgeon; and

any other positions deemed necessary or expedient by the Racecourse Managing Executive.

10. Fees

10.1. The Authority's functions as to fees include:

- 10.1.1. authorising the level of fees which are payable in the circumstances specified in these Rules,
- 10.1.2. making changes to the fees, and
- 10.1.3. where the Authority agrees to make exceptional arrangements in respect of the conduct of any race meeting, charging fees that are in addition to those otherwise provided for in these Rules.

10.2. Schedule 1 lists the occasions on which a fee is payable in accordance with these Rules and the amount of the fee due.

10.3. Any change to the amount of a fee will be published in The Racing Calendar with the date on which the change is to be effective.

10.4. All fees and Arrears due are payable to the Authority.

11. Supplementary powers

11.1. The Authority may exercise all powers conferred on them by these Rules.

11.2. The Authority may give such directions, instructions or General Instructions as it considers appropriate as to the operation of these Rules, and any provision made under this Paragraph may make different provision for different cases.

11.3. The Authority may waive the application of a Rule, directions, instructions or General Instructions in such circumstances as it may consider appropriate.

11.4. In any case of expediency or of emergency, the Authority may:

- 11.4.1. modify these Rules or any part of them,
- 11.4.2. suspend any Rule or part of a Rule for such period or periods as the Authority considers appropriate,
- 11.4.3. order the abandonment of any race or race meeting, and
- 11.4.4. refuse to allow a horse duly entered to run in any race.

11.5. The Authority may take such other action as it considers necessary for the purpose of

11.5.1. discharging its functions, and

11.5.2. carrying out or giving effect to these Rules (including preventing an anticipated contravention).

PART 3 – LICENCES AND REGISTRATION

12. Scheme of this Part

12.1. This Part imposes restrictions on the carrying out of activities connected with horseracing and requires Persons intending to carry out the activities in the Channel Islands:

12.1.1. to hold the appropriate licence, or

12.1.2. to secure that the names of any horse or owner is entered in the appropriate register.

12.2. The effect of the restrictions in this Part is that:

12.2.1. a licence is required for any Person who acts as a trainer, a Jockey or an amateur rider,

12.2.2. a licence is required to hold an authorised race meeting at any racecourse,

12.2.3. the names of any horse which is trained in the Channel Islands and runs at an authorised race meeting must be entered in a register maintained by the Authority, and

12.2.4. the name of the owner of any such horse must be entered in a register maintained by the Authority.

12.3. Rules 19 to 21 make provision as to the Authority's general powers under these Rules in connection with:

12.3.1. the grant, refusal, withdrawal or suspension of any licence, or

12.3.2. the making, modification or cancellation of any entry in a register maintained by the Authority under these Rules.

13. Trainer's licences

13.1. A Person in the Channel Islands may not train a horse which runs in a race under these Rules unless:

13.1.1. he holds a trainer's licence granted by the Authority in accordance with the Trainer Manual (C), or

13.1.2. the horse is trained outside the Channel Islands and the trainer is duly qualified as a trainer in the country where the horse is trained.

13.2. Requirements applying to all Persons to whom Paragraph 13.1 applies are specified in the Trainer Manual (C), along with detailed provisions about licences granted by the Authority (including how to apply).

14. Rider's licences and registration

14.1. A Person may not ride in any race under these Rules unless he,

- 14.1.1. has attained the age of sixteen years,
- 14.1.2. holds a riding licence granted by the Authority, or
- 14.1.3. is authorised by a Recognised Racing Authority to ride under the rules of that Recognised Racing Authority (whether by grant of a licence, permit or otherwise), and
- 14.1.4. is not disqualified or suspended from riding either under these Rules or under the rules of any Recognised Racing Authority.

14.2. The types of riding licences granted by the Authority are:

- 14.2.1. Amateur, and
- 14.2.2. Professional,

which, subject to any restrictions imposed by the Authority, allows the holder to ride in both flat and Jump Races.

14.3. Jump Races means a steeple chase, hurdle race or National Hunt Flat Race.

14.4. Requirements applying to all Persons within Paragraph 14.2 are specified in the Rider Manual (D), along with detailed provisions about licences granted by the Authority (including how to apply).

15. Racecourse licences

15.1. An authorised race meeting in the Channel Islands may not be held at any place or on any track unless it is licensed by the Authority for that purpose.

15.2. The circumstances in which a licence be granted are specified in Part (F)2, along with other detailed provisions about racecourse licences (including how to apply).

16. The Authority's general functions as to registration

16.1. The Authority must maintain a register for,

- 16.1.1. the names of horses,
- 16.1.2. the names of owners of horses, and
- 16.1.3. such other purpose as may be provided for in these Rules.

16.2. The register must include such information as the Authority considers appropriate.

16.3. Where the Authority approves an application for entry in a register which is made to it in accordance with Rule 19, it must make an entry in the register.

16.4. Registration may be cancelled, and an entry amended or removed, if the Authority considers that is appropriate to do so.

17. Register of horse names

17.1. A horse trained in the Channel Islands may not be entered for or run in any race under these Rules unless its name is entered in the register of horse names maintained by the Authority.

17.2. The date of entry in the register shall be determinative of the date on which a horse is deemed to be in training in the Channel Islands for the purpose of any race conditions.

17.3. Detailed provisions about the registration of horse names (including how to apply) are set out in Part (E)2.

18. Register of owners

18.1. A horse trained in the Channel Islands may not be entered for or run in any race under these Rules unless the name of the Owner of the horse is entered in the register of Owners maintained by the Authority in accordance with these Rules.

18.2. No entry may be made in the register in respect of any equitable interest in the ownership of a horse.

18.3. A horse trained outside the Channel Islands is not qualified to be entered for or run in any race under these Rules unless the name of the owner is registered by the Racing Authority of the country in which the horse is trained.

18.4. Detailed provisions about owners (including, in relation to horses trained in the Channel Islands, who may be registered and how to apply) are set out in Part (E)3.

18.5. The provisions of Schedule 6 specify procedures applicable to the consideration and determination of applications.

19. Application procedures for Persons requiring licences or registration

19.1. In respect of an application for:
19.1.1. a licence,
19.1.2. the renewal of a licence,
19.1.3. registration in any register maintained by the Authority under these Rules,

the provisions of Schedule 6 specify procedures applicable to the consideration and determination of those applications.

- 19.2. Each application shall be considered individually on its merits.
- 19.3. At any time after receiving an application and before determining it, the Authority may require an applicant to provide it with such further information as it reasonably considers necessary to determine the application.
- 19.4. The Authority may require an applicant to provide information which he is requested to provide under this Rule in such form, or to verify it in such way, as the Authority may direct.
- 19.5. The Authority must notify the applicant of its decision on the application by a written notice.

20. The Authority's general powers as to licences

- 20.1. Where an application for a licence is made to the Authority in accordance with the relevant application procedure, the Authority may:
 - 20.1.1. grant the application,
 - 20.1.2. grant it subject to restrictions or conditions, or
 - 20.1.3. refuse the application.
- 20.2. The Authority may on an application or on its own initiative:
 - 20.2.1. withdraw any licence it has granted,
 - 20.2.2. suspend it,
 - 20.2.3. renew it,
 - 20.2.4. renew it subject to conditions, or
 - 20.2.5. refuse to renew it.
- 20.3. The Authority may refuse an application for a licence if it is not accompanied by the appropriate fee specified in Schedule 1, but this does not limit the power of the Authority to refuse an application for other reasons.

21. The Authority's general powers as to registration

- 21.1. Where an application for registration in any register maintained by the Authority is made to the Authority in accordance with the relevant application procedure, the Authority may:
 - 21.1.1. approve the application and register the name or other information to which the application relates, or
 - 21.1.2. refuse to approve the application.
- 21.2. The Authority may on an application or on its own initiative:

- 21.2.1. cancel any registration under this Part, and
 - 21.2.2. remove or amend any entry on a register maintained by it under these Rules.
- 21.3. The Authority may refuse an application for registration if it is not accompanied by the appropriate fee specified in Schedule 1, but this does not limit the power of the Authority to refuse an application for other reasons.

PART 4 – GENERAL REQUIREMENTS AS TO CONDUCT

22. Entering or running a horse not qualified to race

22.1. A Person who knows or believes that a horse is not qualified for a race must not

22.1.1. enter the horse in the race,

22.1.2. cause it to be entered for the race, or

22.1.3. cause it to start in the race.

22.2. The Authority may decide not to take Disciplinary Action for a contravention of this Rule if the Person satisfies the Authority that he took all reasonable precautions and exercised all due diligence to avoid the contravention.

23. Conduct prejudicial to horseracing

23.1. A Person must not act in any manner which the Authority considers to be prejudicial to the integrity, proper conduct or good reputation of horseracing in the Channel Islands.

23.2. A Person must not act in a violent or improper manner.

23.3. A Person must not abuse a CIHA Official or official of any race club, whether verbally or otherwise.

23.4. Any Person who engages in bloodstock transactions or deals in racehorses (including horses intended for racing), must comply with the Bloodstock Industry Code of Practice.

23.5. A Person must not in connection with horseracing in the Channel Islands associate with:

23.5.1. a Disqualified Person; or

23.5.2. a Person who is excluded under Rule 57 from any premises licensed by the Authority

unless he obtains the prior permission of the Authority.

23.6. Paragraphs 23.1 to 23.5 apply whether or not a Person's conduct constitutes a contravention of any other provision of these Rules.

24. Conduct obstructing the proper administration or control of racing

24.1. A Person must not, in relation to the administration or control of racing:

24.1.1. breach any declaration or undertaking given to the Authority,

24.1.2. provide any inaccurate information,

- 24.1.3. omit any relevant information which is requested, or
- 24.1.4. fail to comply with a requirement imposed on him by the Authority.

24.2. A Person must not deliberately mislead or by an overt act endeavour to mislead the Authority, the Stewards, any representative of the Authority or other official either at any enquiry or in connection with the administration or control of racing.

24.3. The Authority may decide not to take Disciplinary Action for a contravention of this Rule if the Person satisfies the Authority that the circumstances were exceptional and that he had a satisfactory reason for his conduct.

25. Violent or improper behaviour on racecourse etc

25.1. A Person must not act in any violent or improper manner on any land or premises which is used by the Stewards or licensed by the Authority.

25.2. A Person must not act in any violent or improper manner on any land or premises on which he is present

- 25.2.1. in his capacity as a Person licensed, permitted or registered by the Authority in accordance with Part 3, or

- 25.2.2. for training which relates to an activity connected with horse racing.

26. Offering or accepting bribes

26.1. A Person must not give or offer a bribe, or promise a bribe, to

- 26.1.1. a Person who has official duties in relation to a race or a horse, or

- 26.1.2. a Trainer, Rider or other Person who has charge of, or access to, a horse.

26.2. Paragraph 26.1 applies regardless of the form of the bribe and whether it is direct or indirect.

26.3. A Person who has official duties in relation to a race must not accept or offer to accept any bribe in any form.

26.4. A Person who is a Trainer, Rider or other Person having charge of, or access to, a horse must not accept or offer to accept any bribe in any form.

27. Offering rewards for amateur riders

27.1. A Person must not offer or promise any reward to an Amateur Rider for riding in a race.

27.2. Nothing in this Rule prevents the award of a trophy for Amateur Riders from a racecourse or race sponsor.

27.3. Reward means a reward by way of fee, present, expenses or any consideration apart from:

27.3.1. any trophy presented under Paragraph 27.2; or

27.3.2. any other expenses or benefits approved by the Authority.

28. Placing Bets

28.1. A Person must not make or offer to make a bet on horseracing on behalf of a Rider where the bet

28.1.1. in the case of an Amateur Rider, is to be placed on a race in which the Amateur Rider is riding, or

28.1.2. in any other case, is to be placed at any time during the term of the Rider's licence.

28.2. A Person must not offer a Rider the proceeds (or any part of the proceeds) of a bet on horseracing which is prohibited by Paragraph 28.1.

29. Communication of Inside Information

29.1. **Inside Information** is information about the likely participation or likely performance of a horse in a race, which

29.1.1. is known by an Owner, Trainer, Rider, stable employee or any of their service providers as a result of acting as such, and

29.1.2. is not information in the public domain.

29.2. A Person must not communicate Inside Information directly or indirectly to any other Person for any material reward, gift, favour or benefit in kind.

29.3. Schedule 2 specifies certain circumstances in which information is regarded as being in the public domain for the purposes of Paragraph 29.1.2.

30. Assisting, encouraging or causing Rule contraventions

30.1. A Person must not assist, or encourage, or cause another Person to act in contravention of a provision of these Rules.

31. Participation at unrecognised meetings

31.1. A Person must not

31.1.1. own, train or ride a horse at any Unrecognised Meeting, or

- 31.1.2. act in any official capacity in connection with such a meeting.
- 31.2. Paragraph 31.1 does not apply to
 - 31.2.1. pony races, or
 - 31.2.2. any other specific event comprising or including a race in respect of which the Authority has granted an exemption under this Rule.
- 31.3. The Authority may impose conditions on the grant of any exemption.
- 32. Requirement to comply with controls on sponsorship**
- 32.1. A Person must comply with any Code of Conduct on sponsorship imposed by or under these Rules.
- 33. Conviction of criminal offence connected with racing**
- 33.1. A Person who is convicted of any criminal offence in relation to racing in the Channel Islands or in any other country or territory shall be taken to have contravened a requirement imposed on him by these Rules.
- 34. Involvement in corrupt or fraudulent practices in relation to racing**
- 34.1. A Person who
 - 34.1.1. is guilty of the commission of any corrupt or fraudulent practice in relation to racing in the Channel Islands or any other country,
 - 34.1.2. conspires with any other Person for the commission of such a practice, or
 - 34.1.3. connives at any other Person being guilty of such a practice,shall be taken to have contravened a requirement imposed on him by these Rules.
- 35. Disclosure of unacceptable conduct**
- 35.1. Any Person who is subject to these Rules must, as soon as reasonably practicable, disclose to the Authority full details of any approach or invitation made to
 - 35.1.1. him; or
 - 35.1.2. any other Person, of which he is, or becomes, aware, to engage in conduct that would amount to a breach of these Rules.

PART 5 – ENQUIRIES AND INVESTIGATIONS

36. Application of this Part

- 36.1. The Authority may exercise the powers conferred by this Part for the purpose of
- 36.1.1. determining whether or not the provisions of these Rules are being complied with,
 - 36.1.2. carrying out any investigation concerning a contravention of these Rules,
 - 36.1.3. determining any appeal made to it in accordance with Rules 68 to 74 (appeals to the Authority against Stewards' decisions), and
 - 36.1.4. otherwise discharging the functions of the Authority.

37. Enquiries

- 37.1. The Authority may at any time make enquiry into any matter relating to racing, whether the matter arises in the Channel Islands or elsewhere.
- 37.2. Paragraph 37.1 applies
- 37.2.1. irrespective of whether the matter was considered by the Stewards, and
 - 37.2.2. whether or not the matter was referred to the Authority by the Stewards under Part (B)1.
- 37.3. Schedule 3 contains provision about Disciplinary Panels which may be convened for the purpose of carrying out enquiries.

38. Requirement to co-operate with enquiries

- 38.1. Any Person who receives a notice under Schedule 3 of an enquiry in connection with possible Disciplinary Action being taken against him
- 38.1.1. must return the form sent to him in accordance with Paragraph 4.9 of Schedule 3,
 - 38.1.2. must attend at the enquiry and at any proceedings connected with it unless his attendance is not required, and
 - 38.1.3. must produce any information or record relevant to the enquiry if requested to do so by
 - 38.1.3.1.1. if the information or record requested is listed in Rule 43.4, the Disciplinary Panel Chairman, and
 - 38.1.3.1.2. otherwise, the Authority.
- 38.2. Any other Person, if requested to do so by or on behalf of the Authority, must

- 38.2.1. attend at the enquiry and at any proceedings connected with it, and
 - 38.2.2. produce any information or record relevant to the enquiry.
- 38.3. The Authority may decide not to take Disciplinary Action against a Person for failure to comply with any provision of this Rule if the Person satisfies the Authority that there was good cause for the failure.

39. Conduct of enquiries and costs

- 39.1. The Authority may determine the process and procedures applying in connection with the conduct of enquiries into

- 39.1.1. possible contraventions of these Rules, or
- 39.1.2. whether to take Disciplinary Action in relation to any person under these Rules.

- 39.2. The Authority may order any of the Persons listed in Paragraph 39.3 to pay

- 39.2.1. such reasonable costs and expenses relating to an enquiry, and
- 39.2.2. such reasonable compensation for outlay incurred in connection with it

as the Authority may determine.

- 39.3. The listed Persons are

- 39.3.1. any Person found to be in contravention of these Rules or on whom any award, order or other sanction has been imposed,
- 39.3.2. any Person who, under Part 7, has brought an unsuccessful appeal to the Authority against a decision of the Stewards,
- 39.3.3. the Trainer of any horse which has been the subject of an examination under these Rules, and
- 39.3.4. any Person whose conduct in relation to an enquiry was such that the Authority considers
 - 39.3.4.1.1. it has unreasonably prolonged the enquiry, or
 - 39.3.4.1.2. it has put the Authority or any other Person involved to additional direct or indirect expense and inconvenience.

- 39.4. Subject to Paragraph 39.5, the Authority may order the Trainer and/or owner to pay up to a total of £500 towards the costs of the B sample analysis procedure set out in Schedule (G)4.

- 39.5. For the Authority to make an order it must be satisfied that either the Trainer and/or owner should have accepted the result of the analysis of

the A sample having regard to the knowledge of and the information which was available to one or other of them at the time.

39.6. The Authority may order any Person

39.6.1. who has requested and been granted an adjournment of an enquiry under these Rules, or

39.6.2. whose conduct may, in whole or in part, have caused an enquiry to be adjourned

to pay such reasonable costs and expenses as were wasted or occasioned by the adjournment and as the Authority may determine, irrespective of the final outcome of the enquiry.

40. Consideration of evidence

40.1. The Authority may consider any video-recording, transcript, notes of evidence, statements or other material.

41. Appointment of approved persons

41.1. The Authority may approve such Persons as it considers appropriate for the purposes of exercising any of the following powers and may authorise them to

41.1.1. enter premises for training horses which are owned, controlled or occupied by a Trainer,

41.1.2. examine horses under the care of a Trainer,

41.1.3. request any information or record from any Person subject to these Rules,

41.1.4. inspect any vehicle used or to be used for the transportation of any horse or licensed Person to or from a racecourse,

41.1.5. take samples of any feedstuffs or feed additives or of any other substances or materials,

41.1.6. take custody of any vehicle, or of any substance or material, investigated under Paragraph 41.1.4 or 41.1.5, and

41.1.7. conduct a search of any Person present on licensed premises and take samples or custody of any article or materials found on such persons.

41.2. In exercising any such powers, an Approved Person must, if required to do so, produce evidence from the Authority of

41.2.1. his appointment, and

41.2.2. the scope of the investigating powers conferred on him.

41.3. In this Part **Approved Person** means a Person approved by the Authority under this Rule.

42. Powers to search training premises

- 42.1. An Approved Person may enter any premises for training horses which the terms of his appointment authorise him to enter.
- 42.2. On entering premises, the Approved Person may
 - 42.2.1. inspect the premises and their facilities,
 - 42.2.2. inspect any vehicles used or to be used in connection with the training activity and whether or not present at the premises,
 - 42.2.3. examine any horse under the care of the Trainer, whether or not it is currently in training,
 - 42.2.4. conduct identification and vaccination checks,
 - 42.2.5. inspect and take copies of the records a Trainer is required to keep under Rule (C)11 (duty to keep medication records),
 - 42.2.6. take samples and other relevant details of any feedstuffs or feed additives or of any other substances or materials, and
 - 42.2.7. take custody of any vehicle, substance or material investigated under Paragraph 42.
- 42.3. An examination under Rule 41.1.2 and Paragraph 42.2.3 may include taking samples for subsequent analysis.
- 42.4. A Person must not hinder or obstruct an Approved Person when the Approved Person is carrying out an investigation under this Part.
- 42.5. A Person shall be taken to have contravened a requirement imposed on him by this Rule if the Authority considers that he has
 - 42.5.1. unreasonably refused an approved person access to premises, or
 - 42.5.2. failed without reasonable excuse to comply with any requirement properly made by an Approved Person in exercise of his powers.

43. Requirement to provide information or records

- 43.1. This Rule applies where an Approved Person requests any Person who is subject to these Rules to provide any information or record which the Approved Person reasonably believes is relevant to an investigation conducted under this Part.
- 43.2. That Person shall be taken to have contravened a requirement imposed on him by this Rule if
 - 43.2.1. he fails to supply the information or record to the Authority within the time and in the manner specified when the request was made,
 - 43.2.2. he fails to agree a time and place for an interview within the time specified when the request was made, or
 - 43.2.3. he fails to attend such an interview.

- 43.3. Paragraph 43.2 does not apply if
- 43.3.1. that Person satisfies the Authority that he had good cause for his failure, or
 - 43.3.2. the information or record requested falls within a category listed in Paragraph 43.4 and the request is made without prior specific authorisation from the Authority.
- 43.4. The listed categories of information are
- 43.4.1. telephone billing accounts for specified periods which are relevant to an investigation,
 - 43.4.2. records relating to sponsorship agreements, where payment, hospitality or gratuities are involved,
 - 43.4.3. training accounts providing details of payments and the Persons by whom the payments were made,
 - 43.4.4. accounts in relation to the sale and purchase of horses, and
 - 43.4.5. betting accounts.
- 43.5. That Person shall remain subject to these Rules until he has complied with the request to the reasonable satisfaction of the Authority.
- 43.6. Any Person who provides any information or record in accordance with this Rule is, unless the originals are returned within 7 days, entitled to request and be provided with a copy or duplicate of it within a reasonable time of making a request.
- 43.7. The Authority may summarily take any of the following measures in relation to any Person who contravenes a requirement imposed on him by this Rule:
- 43.7.1. exclusion under Rule 57;
 - 43.7.2. a restriction preventing any of horses in training with that Person from running under these Rules;
 - 43.7.3. a suspension of any or all horses owned by that Person from running in races under Rule 67;
 - 43.7.4. a suspension from riding in races under these Rules;

The taking of any of the above summary measures shall be without prejudice to the Authority's power to take any further Disciplinary Action.

44. Rule 43: supplementary provisions

- 44.1. An Approved Person who makes a request for information or a record under Rule 43 may require
- 44.1.1. that any information or record is provided in such documentary or electronic storage medium as he may specify, and

- 44.1.2. if the information is stored in a computer or other electronic device, that copies on disc or in hard copy are provided.
- 44.2. A request for a telephone billing account under Rule 43.4.1 may require itemised details of all calls made during a specified period.
- 44.3. For the purposes of Rule 43.3.1, a failure to comply with a request for a telephone billing account on the ground that the agreement with the relevant service provider does not enable the individual to obtain itemised details shall be treated as if it were a refusal without good cause.
- 44.4. Accordingly, each of the following Persons must ensure that the agreement he enters into with the relevant service provider for any telephone that he uses regularly enables him to obtain itemised details of all calls
 - 44.4.1. any Rider, and
 - 44.4.2. any Trainer.

PART 6 – DISCIPLINARY ACTION

45. General power to deal with matters relating to racing

45.1. The Authority may deal with any matter relating to racing whether the matter arises in the Channel Islands or elsewhere.

45.2. In particular, the Authority may

45.2.1. impose a Disciplinary Penalty or Penalties on any Person who contravenes a requirement imposed on him by or under these Rules,

45.2.2. on certain specified other grounds, apply such other award, order or sanction as it has power to apply under these Rules both in relation to Persons who are subject to these Rules and to other Persons,

45.2.3. disqualify horses in relation to races that have already been run, and

45.2.4. suspend horses from running in future races.

45.3. The powers of the Authority extend to conduct that has already been considered by Stewards under the Race Manual (B) and, in such cases, the Authority's powers apply

45.3.1. irrespective of any decision or action taken by the Stewards, and

45.3.2. whether or not the matter was referred to the Authority by the Stewards under Part (B)1.

45.4. Where

45.4.1. a Person has failed to comply with a requirement imposed on him by or under these Rules, or

45.4.2. has engaged in any other conduct in respect of which the Authority has power to take Disciplinary Action under these Rules,

the Authority may decide not to take any Disciplinary Action against the Person if he satisfies the Authority that, in all the circumstances, there was good cause for the failure or conduct.

45.5. Except where expressly stated, the Authority's powers to take Disciplinary Action under these Rules are not limited or excluded by reason of the fact that some Rules do while others do not prescribe specific sanctions for their contravention.

46. Powers to take Disciplinary Action against a person for contravention of these Rules

- 46.1. The Authority may take Disciplinary Action against a Person under this Rule if
 - 46.1.1. the Authority considers that he is guilty of misconduct, and
 - 46.1.2. the Authority is satisfied that it is appropriate in all the circumstances to take action against him.
- 46.2. A Person is guilty of misconduct if, while he is subject to these Rules
 - 46.2.1. he contravenes a requirement imposed on him by or under these Rules,
 - 46.2.2. any provision of these Rules states that he is taken to have contravened any such requirement, or
 - 46.2.3. any provision of these Rules states that he is liable to Disciplinary Action.
- 46.3. If the Authority is entitled to take Disciplinary Action against a person under Paragraph 46.1
 - 46.3.1. it may impose on him any of the Disciplinary Penalties specified in Rules 47 to 55, and
 - 46.3.2. more than one penalty may be imposed in respect of each contravention of a Rule, including a continuing contravention.
- 46.4. Where a Rule
 - 46.4.1. requires a particular penalty, award, order or sanction, the Authority must comply with the requirement, or
 - 46.4.2. makes provision for the application of any other penalty, award, order or sanction, that provision shall continue to apply notwithstanding that the Authority may have imposed one or more Disciplinary Penalties under Rules 47 to 55.
- 46.5. If a particular Rule so provides, contravention of the Rule does not give rise to any of the consequences provided for in this Part.
- 46.6. In Rules 47 to 55 the Offender means a Person against whom the Authority is entitled to take action under this Rule.

47. Cautions

- 47.1. The Authority may issue the Offender with a caution.

48. Financial Penalties

- 48.1. The Authority may impose on the Offender a financial penalty of such amount as the Authority considers appropriate.
- 48.2. The amount of any financial penalty imposed shall not exceed £20,000.

48.3. The Authority may

- 48.3.1. defer all, or
- 48.3.2. any part of a financial penalty with
- 48.3.3. it becoming payable pending, or
- 48.3.4. subject to any future event.

49. Suspension or withdrawal of licence or permit

- 49.1. The Authority may suspend or withdraw any licence held by the Offender.
- 49.2. Rule 64 contains supplementary provisions which apply where a licence is withdrawn.

50. Declaration of ineligibility for licence or registration

- 50.1. The Authority may declare that the Offender is ineligible for any licence or registration under these Rules.
- 50.2. A declaration of ineligibility under Paragraph 50.1 may be imposed for such period or periods as the Authority may specify.

51. Declaration of disqualification of persons

- 51.1. The Authority may declare the Offender to be a Disqualified Person.
- 51.2. A disqualification under Paragraph 51.1 may be indefinite or may be imposed for such period or periods as the Authority may specify.
- 51.3. When the Authority declares the Offender to be a Disqualified Person, the Authority may give such directions as it considers appropriate concerning the handling of any future application by that Offender for permission to be employed in a racing stable under Rule 63.
- 51.4. Rule 63 contains supplementary provisions which apply where a person is declared to be a Disqualified Person.

52. Additional penalties: trainers

- 52.1. This Rule applies where the Offender is a Trainer, and any penalty that is imposed under this Rule is in addition to any other penalty, award, order or sanction applied under these Rules.
- 52.2. The Authority may impose, for such period or periods as the Authority considers appropriate, such restrictions as it may specify on the running of all horses which are in the Trainer's care.
- 52.3. In particular, such restrictions may include

- 52.3.1. refusing to accept any entry for a horse,
 - 52.3.2. refusing to allow any horse to run even if it is duly entered,
 - 52.3.3. where a horse has left the care of the Trainer and run in a race, refusing to allow the horse to return to the care of the Trainer, and
 - 52.3.4. refusing to allow any horse to be declared to run under Part (F)6.
- 52.4. Paragraphs 52.3.1 and 52.3.4 do not apply to any horse running in a race that will be run outside the period of the restriction.

53. Additional penalties: rider to attend remedial training

- 53.1. This Rule applies where the Offender is a Rider, and any penalty that is imposed under this Rule is in addition to any other penalty, award, order or sanction applied under these Rules.
- 53.2. The Authority may order the Rider to attend a course in remedial training at such place as it thinks appropriate.

54. Additional penalties: rider's suspension extended to all racecourses

- 54.1. This Rule applies where the Offender is a Rider, and any penalty that is imposed under this Rule is in addition to any other penalty, award, order or sanction applied under these Rules.
- 54.2. Where the Stewards have suspended a Rider from riding at a particular racecourse for any period
 - 54.2.1. the Rider is to be regarded for the purposes of Rule 46 as a Person guilty of misconduct and against whom it is appropriate for the Authority to take Disciplinary Action, and
 - 54.2.2. subject to the exceptions specified in Rule 55, the Authority will impose on the Rider a general suspension for the same period and which applies to all races at other racecourses.
- 54.3. Subject to Paragraph 54.4, any suspension imposed by the Authority under this Rule shall take effect in accordance with Schedule (B)1 (effective days for riding suspension by Stewards).
- 54.4. The Authority may, if it considers it appropriate to do so, substitute a different period in which the general suspension under this Rule will apply, in any case where it considers it just to do so.
- 54.5. Where the Authority exercises its power under Paragraph 54.4 to substitute the period of a Rider's suspension, it may impose such restrictions or conditions as the Authority considers appropriate.

55. Rule 54: excepted cases

- 55.1. The general suspension for which Rule 54.2.2 makes provision is subject to the following exceptions.
- 55.2. No general suspension will be imposed where the right of appeal to the Authority under Rules 68 or 74 has been exercised in respect of the Stewards' suspension and the appeal is not yet finally determined.
- 55.3. No general suspension will be imposed
- 55.3.1. where the Authority has decided to cancel the Stewards' suspension in exercise of its powers under Rule (B)18 (other powers of the Authority as to Stewards' decisions), or
- 55.3.2. to the extent that the Authority has reduced the period of the suspension in exercise of those powers.
- 56. Powers to suspend or withdraw licences on grounds other than Rule contravention**
- 56.1. The Authority may suspend or withdraw any licence granted to a Person under these Rules if the Authority considers that
- 56.1.1. such action is necessary in the interests of racing, pending the outcome of an ongoing investigation or process (whether or not undertaken by the Authority), or
- 56.1.2. any other good cause is shown.
- 56.2. Rule 64 contains supplementary provisions which apply where a licence is withdrawn.
- 57. Power to issue exclusion orders**
- 57.1. The Authority may exclude a Person from any premises licensed by them, or cause or order him to be excluded from such premises where the Authority considers the presence of the Person on such premises is undesirable in the interest of racing.
- 57.2. An exclusion under Paragraph 57.1 may be indefinite or may be imposed for such period as the Authority may specify.
- 57.3. A Person may be excluded under this Rule whether or not he is otherwise subject to these Rules and even though he is not, and has not been declared, a Disqualified Person.
- 58. Power to prohibit Overseas Riders from riding in races under these Rules**
- 58.1. The Authority may prohibit an Overseas Rider from taking part in any race, or any description of race, run under these Rules.

58.2. A prohibition under Paragraph 58.1 may be indefinite or may be imposed for such period or periods as the Authority may specify.

59. Person whose name appears on the Forfeit List

59.1. Where a Person's name appears on The Forfeit List, that person shall be treated as a Disqualified Person for the purposes of these Rules until his name is removed from the List.

59.2. Where any entity is disqualified by virtue of Paragraph 59.1 its registration under these Rules shall be cancelled.

59.3. Paragraph 59.1 applies regardless of when the Arrears arose or whether The Forfeit List was published under any previous version of the Rules of Racing.

60. Person whose name appears in official forfeit list of Recognised Racing Authority

60.1. Where the Authority is notified by a Recognised Racing Authority that a Person's name appears in an official forfeit list published by that Recognised Racing Authority, that Person shall be treated as a Disqualified Person for the purposes of these Rules from the date of such notification until such time as his name is removed from that list.

60.2. The Authority may, on application to it, direct that Paragraph 60.1 shall not apply to such Person as it may specify.

60.3. Any application under Paragraph 60.2 must be made to the Authority's Office before the end of the period of 7 days starting with the day after that on which the Person's name is first published in the relevant official forfeit list.

60.4. The Recognised Racing Authority may make an application to the Authority to be represented at any hearing convened by the Authority in order to determine an application for the purposes of Paragraph 60.2. Any such application shall be determined by the Disciplinary Panel Chairman.

60.5. If the Recognised Racing Authority chooses to make an application pursuant to paragraph 60.4, the application and any subsequent attendance at a hearing shall be at its own expense.

61. Person disqualified by order of a Recognised Racing Authority

61.1. This Rule applies to any Person on whom disqualification has been imposed by a Recognised Racing Authority.

- 61.2. For so long as that Person's disqualification continues, he shall be treated as a Disqualified Person under these Rules.
- 61.3. The Authority may
- 61.3.1. on application by that Person, direct that Paragraph 61.2 shall not apply to him, or
 - 61.3.2. when such an application is made, suspend the operation of Paragraph 61.2 pending the Authority's decision on the application.
- 61.4. That Person may not make an application for the purposes of Paragraph 61.3 unless he has exhausted all appeal procedures available to him under the rules of the Recognised Racing Authority.
- 61.5. The application must be made in writing to the Authority's Office before the end of the period of 3 days starting with the day after that on which
- 61.5.1. the appeal under the rules of the Recognised Racing Authority is finally dismissed, or
 - 61.5.2. where there is no procedure for appeal, the disqualification is imposed.
- 61.6. The Authority may also consider an application by that Person if that Person satisfies the Authority that it was not possible to comply with Paragraph 61.5 and that the application was made at the earliest opportunity.
- 61.7. The Authority shall direct that Paragraph 61.2 shall not apply to a Person where the Recognised Racing Authority informs the Authority in writing that it does not wish for the disqualification to be reciprocated under this Rule.
- 61.8. The Recognised Racing Authority may make an application to the Authority to be represented at any hearing convened by the Authority in order to determine an application for the purposes of Paragraph 61.3. Any such application shall be determined by Disciplinary Panel Chairman, and in the event that such application is successful, the Recognised Racing Authority may only make submissions relating to any alleged failure to comply with: (i) the rules of natural justice; or (ii) the rules of the Recognised Racing Authority.
- 61.9. If the Recognised Racing Authority chooses to make an application pursuant to paragraph 61.8, the application and any subsequent attendance at a hearing shall be at its own expense.

62. Jockey or amateur rider suspended by Recognised Racing Authority

- 62.1. This Rule applies where a Jockey or a person who holds an amateur rider's licence granted by the Authority has been suspended from riding by a Recognised Racing Authority.
- 62.2. The Jockey or amateur rider must not ride in any race on any day when such suspension is effective.
- 62.3. The Authority may
 - 62.3.1. on the application of a Jockey or amateur rider, direct that Paragraph 62.2 shall not apply to him , and
 - 62.3.2. when such an application is made, suspend the operation of Paragraph 62.2 pending the Authority's decision on the application.
- 62.4. The Jockey or amateur rider may not make an application for the purposes of Paragraph 62.3 unless he has exhausted all appeal procedures available to him under the rules of the Recognised Racing Authority.
- 62.5. The application must be made in writing to the Authority's Office before the end of the period of 48 hours starting with the day after that on which
 - 62.5.1. the appeal under the rules of the Recognised Racing Authority is finally dismissed, or
 - 62.5.2. where there is no procedure for appeal, the suspension is imposed.
- 62.6. The Authority may also consider an application for the purposes of Paragraph 62.3 if the Jockey or amateur rider satisfies the Authority that it was not possible to comply with Paragraph 62.5 and that the application was made at the earliest opportunity.
- 62.7. The Authority shall direct that Paragraph 62.2 shall not apply to a Jockey or amateur rider where the Recognised Racing Authority informs the Authority in writing that it does not wish for the suspension to be reciprocated under this Rule.
- 62.8. The Recognised Racing Authority may make an application to the Authority to be represented at any hearing convened by the Authority in order to determine an application for the purposes of Paragraph 62.3. Any such application shall be determined by the Disciplinary Panel Chairman, and in the event that such application is successful, the Recognised Racing Authority may only make submissions relating to any alleged failure to comply with: (i) the rules of natural justice; or (ii) the rules of the Recognised Racing Authority.

62.9. If the Recognised Racing Authority chooses to make an application pursuant to paragraph 62.8, the application and any subsequent attendance at a hearing shall be at its own expense.

63. Consequences of being a Disqualified Person

- 63.1. For the period of his disqualification, a Disqualified Person must not
- 63.1.1. act as a Steward or official at a recognised meeting,
 - 63.1.2. act as an Authorised Agent under these Rules,
 - 63.1.3. enter, run, train or ride a horse in any race at a recognised meeting, but this is subject to Paragraph 2.5 of Schedule (B)2 (which provides for a 14 day period of grace for trainers disqualified for being on Forfeit List),
 - 63.1.4. be employed in any racing stable without first having obtained permission from the Authority under Paragraph 63.2,
 - 63.1.5. enter any premises licensed by the Authority,
 - 63.1.6. deal in any capacity with a racehorse (for example, by selling or placing shares in the horse) unless that Person is making arrangements for the sale of his horse(s) after being declared a Disqualified Person, and he has the Authority's approval to do so, or
 - 63.1.7. lease, or continue to lease, any horse that he owns to a third party, unless he has the Authority's approval to do so.
- 63.2. The Authority may, on an application made to it by a Disqualified Person, grant permission for the Disqualified Person to be employed in any racing stable for the purposes of Paragraph 63.1.4.
- 63.3. The procedure for making such an application is specified in Paragraph 12 of Schedule 3 (procedure for the granting of such permission).
- 63.4. Where the Authority finds that a horse has been dealt with in contravention of Paragraph 63.1.6
- 63.4.1. the horse shall be automatically declared to be suspended from all future racing, and
 - 63.4.2. the suspension shall be removed only when the Authority is satisfied that the horse has been sold on the open market to a purchaser who has no previous connections with the Disqualified Person.
- 63.5. Where an entry for a race which is made by a Disqualified Person has been mistakenly or inadvertently accepted, the entry shall be void and the horse shall not be qualified to be entered or to start.
- 63.6. Where a Person registered as an Owner is declared a Disqualified Person that Person may not leave in the care or control of a Trainer, any horse that he owned at the time of being charged or disqualified unless the Authority is satisfied that there has been a genuine sale arrangement.

64. Withdrawal or suspension of licence: supplementary provisions

- 64.1. Where the Authority suspends or withdraws a licence under any provision of this Part, the Authority may determine how, and subject to what requirements or conditions, the suspension or withdrawal of the licence is to take effect.
- 64.2. A determination under Paragraph 64.1 may be general or be with specific reference to a particular case or cases.
- 64.3. For example, the Authority may
- 64.3.1. determine the period or periods for which the suspension or withdrawal is to take effect,
 - 64.3.2. specify the races or description of race in respect of which it is to take effect,
 - 64.3.3. determine that the whole or any part of a period for which the licence is to be suspended, or that any particular respect in which the suspension of the licence is to take effect, shall itself be suspended for so long as the Person concerned complies with such requirements or conditions as the Authority may specify,
 - 64.3.4. provide for any part of the suspension of the licence to take effect only if a further suspension is imposed under these Rules (whether by the Stewards or by the Authority), in respect of a matter occurring within such period as the Authority may specify, including upon the outcome of any pending appeal or enquiry, and
 - 64.3.5. reinstate the licence at the end of a specified period if the Person complies with (or continues to comply with) such requirements or conditions as the Authority may specify.
- 64.4. In any case where a partial suspension of the kind referred to in Paragraph 64.3.4 is activated by a subsequent suspension, the two periods of suspension are to take effect consecutively.

65. General powers to disqualify a horse or suspend it from running

- 65.1. The Authority may disqualify a horse under Rule 66, or suspend it from running under Rule 67, in any circumstances it considers appropriate.
- 65.2. The disqualification of a horse may apply to one or more races that have already been run.
- 65.3. Disqualification of a horse under Rule 66 will result in all other placings being altered accordingly unless expressly stated otherwise within the established ground.

- 65.4. Disqualification of a horse under Rule 66, and the resultant alteration of placings, will take effect from 12.01a.m. on the day after the disqualification is ordered.
- 65.5. The suspension of a horse from running may apply to prevent the horse from running in
- 65.5.1. one or more specified races or races of a specified description, and
 - 65.5.2. any future races.
- 65.6. Suspension of the kind referred to in Paragraph 65.5.2 may be indefinite or may be imposed for such period as the Authority may specify.
- 65.7. The power under Paragraph 65.5 to suspend a horse from running includes
- 65.7.1. power to provide for the suspension to take effect automatically where the horse has failed to meet performance criteria set by the Authority, and
 - 65.7.2. power to make the lifting of a suspension subject to such restrictions or conditions as the Authority considers appropriate.
- 65.8. Where
- 65.8.1. a Person makes an error, or contravenes a Rule, in entering a horse for a race, and
 - 65.8.2. the appropriate steps specified in Rule (F)46 (steps for correcting certain errors) for correcting the error or contravention have been taken,
- the horse shall not be liable to disqualification on account of the error or contravention.

66. Disqualification of horses in races already run

- 66.1. The powers conferred by Paragraph 66.2 are exercisable by the Authority on an objection made to it under Part (B)7 or where such circumstances are found by the Disciplinary Panel to have occurred.
- 66.2. The Authority will disqualify a horse in relation to a race that has already been run, if the Authority is satisfied that any of the following grounds is established.

GROUND 1

Where the horse has been the subject of fraudulent practice.

GROUND 2

Where the Authority considers that, at the time of the race, the Rider of the horse was not permitted to ride under these Rules.

Examples of circumstances in which this Ground will apply include

- 66.2.1. that the Rider did not hold a jockey's licence or an amateur rider's licence granted by the Authority or, in the case of an Overseas Rider, was not qualified to ride in the race under Part (D)4;
- 66.2.2. that the Rider was suspended from riding under these Rules;
- 66.2.3. that the Rider was prevented from riding by Rule (D)41 (declaration of unfitness to ride).

GROUND 3

Where the horse has been the subject of an examination under Part (B)1 and a sample from the horse tests positive for a Prohibited Substance.

On a disqualification on this ground following analysis of a stored sample

- 66.2.4. all prize money paid respectively to the owner, Trainer or Rider must be repaid by them to such Person as the Authority may direct (or failing any such direction to the Authority itself), and
- 66.2.5. any physical prize or trophy awarded to a winning owner of the disqualified horse must be surrendered by the owner to the Authority,

but there will be no alteration in the placing of any other horse in the race.

The Authority may direct that Paragraph 66.2.4 or 66.2.5 shall not apply to any owner, Trainer or Rider who satisfies the Authority that there are exceptional reasons why it should not apply.

GROUND 4

Where the Authority considers that any provision of Schedules (B)2 (requirements for a horse to enter) and (B)3 (qualifications for horse to run) has not been complied with in relation to the horse.

GROUND 5

Where the Authority considers that the horse carried less than the weight that it should have carried in accordance with the conditions of the race and these Rules.

GROUND 6

Where a different name is used for entering or running a horse in a race from that specified in relation to the owner under Part (E)3.

GROUND 7

Where

- 66.2.6. a Partnership, lease or other arrangement for running a horse (the arrangement) is entered into in respect of the horse after the horse has been entered in a race,
- 66.2.7. the arrangement qualifies for registration under Chapter 3 of Part (E)3, and
- 66.2.8. the horse starts for the race without the arrangement having been registered.

The Authority may decide not to disqualify a horse on this Ground if it is satisfied that the failure to notify Authority of the arrangement was accidental and the Authority accepts the registration.

GROUND 8

Where

- 66.2.9. a horse has changed ownership with a transfer of engagements, and
- 66.2.10. the horse starts for a race without notice of the transfer of engagements having been given to the Authority under Part (F)5 (entries).

The Authority may decide not to disqualify a horse on this Ground if it is satisfied that the failure to notify the Authority of the transfer of engagements was accidental, but any Person responsible for the failure shall be liable instead to a financial penalty imposed by the Authority.

GROUND 9

Where a horse which is the subject of a lease is run in a Selling or Claiming Race without the lessee having obtained the lessor's prior written consent.

GROUND 10

Where the Authority considers that the provisions of Schedule (G)3 (sampling at racecourse) were not followed in relation to a horse.

GROUND 11

Where provided for in Manual (G), as a consequence for a Horse following an Equine Anti-Doping Rule Violation. On a disqualification on this ground:

- 66.2.11. all prize or other money paid respectively to the owner, Trainer, Rider or any other recipient in accordance with these Rules must be repaid by them to such Person as the Authority may direct (or failing any such direction to the Authority itself), and
- 66.2.12. any physical prize or trophy which has been awarded to a winning owner, Trainer or Rider of the disqualified horse or to any other prize recipient must be surrendered by the relevant recipient to the Authority.

The Authority may direct that Paragraph 66.2.11 or 66.2.12 shall not apply to any owner, Trainer, Rider or other recipient who satisfies the Authority that there are exceptional reasons why it should not apply.

GROUND 12

Where the horse is the subject of an inaccurate, misleading or fraudulent declaration at the time of registration with the General Stud Book and/or Authority.

67. Suspension of horses from running in future races

- 67.1. If the Authority is satisfied that any of the following grounds is established, it may suspend a horse from running.

GROUND 1

Where the Authority has imposed a Disciplinary Penalty on a Person under Rules 47 to 55 in respect of a contravention of a Rule and the horse was involved in the circumstances giving rise to the contravention.

GROUND 2

Where the horse has been the subject of fraudulent practice.

GROUND 3

Where an examination of a horse which was ordered by Stewards under Part (B)1 shows a Prohibited Substance.

GROUND 4

Where a horse has been the subject of an examination by an Approved Person authorised to enter the Trainer's premises under Part 5 and a sample from the horse tests positive for a Prohibited Substance prohibited at all times as specified in Schedule (G)1.

GROUND 5

Where the horse is the subject of an inaccurate, misleading or fraudulent declaration at the time of registration with the General Stud Book and/or the Authority.

GROUND 6

In such other circumstances as may be specified in these Rules as a ground for suspending the horse.

- 67.2. Where the Stewards have exercised their powers under Part (B)1 to suspend a horse from running at a particular racecourse for a particular period, the Authority will impose a general suspension on the horse to prevent the horse from running at any other racecourse for the same period.
- 67.3. The exceptions in Rules 55.2 and 55.3 shall apply in relation to the general suspension of a horse under Paragraph 67.2, as those provisions apply in relation to the general suspension of a Rider under Rule 54.

PART 7 – APPEALS

68. Appeals to the Authority from Stewards' decisions

- 68.1. Any Person listed in Paragraph 68.2 who is aggrieved by a Stewards' decision is entitled to appeal to the Authority.
- 68.2. The Persons who may appeal under this Rule are
- 68.2.1. any owner, Trainer or Rider of a horse in a race which is the subject of
 - 68.2.1.1. a Stewards enquiry under Rule (B)11.6,
 - 68.2.1.2. a suspension following a contravention of a Rule contained in Part (B)4, or
 - 68.2.1.3. an objection under Rule (B)69.2, or
 - 68.2.2. any other Person on whom any form of Disciplinary Penalty has been imposed by the Stewards under Part (B)1.

69. Requirement to co-operate for the purposes of an appeal

- 69.1. If he is requested to do so by or on behalf of the Authority, a Person must
- 69.1.1. attend the hearing of any appeal under Rule 68, and
 - 69.1.2. produce any information or record relevant to the appeal.
- 69.2. The Authority may decide not to take Disciplinary Action for any failure to comply with any provision of this Rule if the Person satisfies the Authority that there was good cause for the failure.

70. Bringing an appeal

- 70.1. In any case where
- 70.1.1. a decision of the Stewards relates to a contravention of Rule (B)54 or (B)55.1.2 (failure to obtain the best possible placing), or
 - 70.1.2. a Rider has been suspended from riding,
- the appellant must lodge a notice of appeal with the Authority's Office before the end of the period of 48 hours starting with the day after that on which the Stewards' decision is announced.
- 70.2. In any other case the appellant must lodge a notice of appeal with the Authority's Office before the end of the period of 7 days starting with the day after that on which the Stewards' decision is announced.
- 70.3. No appeal notice may be lodged unless it is accompanied by a deposit of £100.

- 70.4. The deposit may be returned to an appellant, save:
- 70.4.1. that it shall be forfeited where the Disciplinary Panel concludes that the appeal had no realistic prospect of success. In such circumstances, the written reasons shall address the issue;
 - 70.4.2. where the Disciplinary Panel orders it be applied towards the satisfaction of any costs award.
- 70.5. The notice of appeal must be signed by the appellant, or his legal representative and must state the grounds of appeal in general terms.
- 70.6. Where the appeal is from the imposition of a financial penalty of £300 or less, the notice of appeal must also state whether the appellant seeks a personal hearing or is content for the appeal to be decided on a submission of written evidence.

71. Submission of written evidence

- 71.1. This Rule applies where an appeal is to be decided by submission of written evidence.
- 71.2. The appellant must before the end of the period of 7 days starting with the day on which the notice of appeal is lodged submit to the Authority's Office such written evidence and representations as he wishes to be considered by the Authority.
- 71.3. The Authority may request the Stewards whose decision is subject to appeal also to submit written evidence.
- 71.4. Where the Authority requires further information for the purposes of considering the appeal, the Authority may direct that a written summary of evidence must be compiled by such Person as it may specify.
- 71.5. The written summary of evidence must be signed by the appellant.
- 71.6. If the appellant fails to sign the written summary of evidence the Authority will treat the appeal as one where the appellant has required a personal hearing.

72. Consideration by the Authority

- 72.1. The Authority must consider and determine any appeal made to it from a Stewards' decision.
- 72.2. The Authority may confirm or reverse or otherwise vary the decision of the Stewards and, in connection with any of the matters raised on appeal, may exercise any of the Authority's powers under Part 6.

72.3. On an appeal, the Authority has the same powers as to costs as it has under Rule 39 in relation to enquiries.

72.4. Where

72.4.1. the appeal is from the imposition of a financial penalty of £300 or less, and

72.4.2. the appellant has not requested a personal hearing,

the appeal will be considered in the absence of the appellant and the Authority must communicate its decision to the appellant in writing prior to publication.

73. Implementation of decision to suspend a horse for future races

73.1. Where the appeal is against a decision by the Stewards to suspend a horse from running in future races

73.1.1. the suspension of the horse shall not take effect until the appeal has been determined, and

73.1.2. if the appeal is dismissed, the suspension shall commence on the day following that on which a decision on the appeal is given.

73.2. The Authority may direct that Paragraph 73.1.1 or 73.1.2 does not apply in any particular case.

73.3. An appeal against a decision by the Stewards to suspend a horse may not be withdrawn without the consent of the Authority and, in giving its consent, the Authority may impose such conditions as it considers appropriate (for example, by specifying the dates between which the suspension is to take effect or by imposing any orders as to costs and forfeiture of the deposit).

74. Implementation of decision to suspend a rider

74.1. Where an appeal against a decision by the Stewards to suspend a Rider is dismissed, the suspension of the Rider shall commence either

74.1.1. on the date determined in accordance with the provisions of Schedule (B)1 (which makes provision as to commencement of a rider's suspension), or

74.1.2. if the appeal has not been concluded by that date, on the day of the next scheduled race meeting in the Channel Islands.

74.2. The Authority may direct that Paragraph 74.1 does not apply in any particular case.

75. Power to provide for appeals to an Appeal Board

- 75.1. The Authority's general powers under Part 1 include power to make provision for decisions made by the Authority to be reviewed by, or appealed to, boards (known as Appeal Boards), in such circumstances and on such terms as the Authority considers appropriate.
- 75.2. The Authority may from time to time
- 75.2.1. make new provision for and in connection with appeals to an Appeal Board, and
 - 75.2.2. modify or delete an existing provision.

76. Appeal Boards

- 76.1. Appeal Boards shall be convened in accordance with Schedule 4 to hear appeals from decisions of the Authority.
- 76.2. Schedule 4 contains provision about
- 76.2.1. the decisions against which a Person has a right to appeal to an Appeal Board,
 - 76.2.2. the Persons by whom an appeal may be brought,
 - 76.2.3. the membership of an Appeal Board,
 - 76.2.4. the convening of an Appeal Board,
 - 76.2.5. the process and procedure for making appeals,
 - 76.2.6. the powers of an Appeal Board in the conduct and determination of an appeal, and
 - 76.2.7. certain other matters relating to the conduct of appeals.

77. Implementing decisions subject to right of appeal

- 77.1. Subject to Paragraphs 77.2 to 77.5, a decision by the Authority against which there is a right of appeal to an Appeal Board shall not be carried into effect until the time for bringing an appeal has expired without an appeal being brought.
- 77.2. If an appeal is brought, the Authority's decision shall not be carried into effect until the day after the date on which the appeal
- 77.2.1. is finally disposed of by an Appeal Board,
 - 77.2.2. is abandoned, or
 - 77.2.3. fails by reason of non-prosecution.
- 77.3. A refusal by the Authority of any application made to it (such as for the grant or renewal of a licence) shall take effect immediately.
- 77.4. A decision under Part 6 to suspend a horse from running in future races shall take effect the day after the date on which the decision is announced whether or not the Rider, Trainer or other Person has, or exercises, a right of appeal to an Appeal Board.

77.5. A decision to

77.5.1. withdraw or suspend a licence for a period of 1 month or more,
or

77.5.2. declare a Person to be a Disqualified Person,

shall take effect immediately on the announcement of the decision unless the Authority or an Appeal Board directs otherwise.

77.6. Any direction under Paragraph 77.5 may be given subject to such restrictions or conditions as the Authority or the Appeal Board considers appropriate.

78. Implementing decision of Appeal Board

78.1. An Appeal Board shall announce its decision to the parties to the appeal as soon as practicable and in such a manner as it considers appropriate.

78.2. Unless an Appeal Board directs otherwise, any decision made by it (including a decision to impose or substitute a Disciplinary Penalty or other measure) shall come into effect the day after the announcement of the decision.

PART 8 – SPECIFIC FUNCTIONS OF THE AUTHORITY

79. Maintaining the Forfeit List

79.1. The Authority may

79.1.1. keep a record of all Arrears due to it or any racecourse licensed by it (the Forfeit List), and

79.1.2. authorise the publication of the Forfeit List.

79.2. The Forfeit List may include

79.2.1. the sums due,

79.2.2. the name or names of the Person or Persons from whom the sums are due, and

79.2.3. such other information as the Authority may consider appropriate.

79.3. A Person's name may be removed from the Forfeit List only on payment of any published Arrears directly to the Authority or relevant licensed racecourse.

80. Controls on race conditions and sponsorship

80.1. The Authority may direct any licensed racecourse to modify or remove any of the conditions of a race, even after it has been advertised.

80.2. The Authority may

80.2.1. determine the circumstances in which sponsorship is permitted for or in connection with racing, and

80.2.2. approve any sponsorship agreements, subject to such restrictions or conditions as it may determine.

81. Managing the numbers of horses running in a race

81.1. The Authority may specify the circumstances in which a race is to be divided or declarations made under Rule (F)50 are to be eliminated.

82. Prohibiting certain equipment used for racing

82.1. The Authority may prohibit any equipment for use on a horse in a race which they consider is unsuitable, unsafe or ineffective

83. Maintaining the list of Recognised Racing Authorities

83.1. A Recognised Racing Authority is any racing authority which is for the time being listed in Schedule 5.

83.2. The Authority may at any time in connection with the discharge of its functions under these Rules

83.2.1. approve a racing authority as a Recognised Racing Authority and add its name to the list specified in Schedule 5, and

83.2.2. modify or delete any existing entry.

84. Powers in relation to Authorised Agents

84.1. The Authority may allow or refuse to allow any Person to act, or continue to act, as authorised agent or sub-agent for another Person for the purposes of these Rules.

85. Regulation of point-to-point steeple chasing

85.1. The Authority may authorise the publication of the Channel Islands Horseracing Authority Regulations for Point-to-Point Steeple Chases.

85.2. Point-to-point steeple chases are held under the sanction of the Authority and under those Regulations.

85.3. Each Person taking part in those races shall comply with those Regulations.

86. Maintaining the General Stud Book

86.1. The Authority shall maintain the Channel Islands General Stud Book being the breeding records for Thoroughbreds in the Channel Islands.

PART 9 – MISCELLANEOUS

87. Powers to publish information

- 87.1. The Authority may at any time publish notice of
- 87.1.1. any charges for the contravention of these Rules which are laid against any Person (including any facts alleged in support),
 - 87.1.2. any topics for a disciplinary enquiry,
 - 87.1.3. any topics for an appeal hearing,
 - 87.1.4. any directions given, and findings made, in respect of a Rule contravention, enquiry or hearing,
 - 87.1.5. any penalties, award, order or other sanctions applied,
 - 87.1.6. any other decision made by the Authority as to any matter or any Person, and
 - 87.1.7. any decision or report of Stewards of Meetings (but this without prejudice to the power of the Stewards under Rule (B)11 (enquiries) to publish information).
- 87.2. Except where these Rules provide otherwise, publication may be made in such manner as the Authority thinks appropriate, whether in the public press and media or the website of the Authority or otherwise.

88. Delegation of functions

- 88.1. Except where these Rules provide otherwise, the Authority may make arrangements for any one or more of its functions to be exercised on its behalf by
- 88.1.1. a committee or sub-committee of the board of the Authority, or
 - 88.1.2. any Person nominated by the Authority, including its Board Members or other officials.
- 88.2. The Authority may make such arrangements where it is satisfied that it is in the interest of the efficient administration of horseracing and the operation of these Rules to do so.
- 88.3. If the Authority considers it appropriate to do so, it may ratify the exercise (or purported exercise) on its behalf of any one or more of its functions by any Person notwithstanding that the Person may not have been duly authorised by the Authority at the relevant time.
- 88.4. This Rule does not restrict the Authority's general powers under these Rules.

89. Delegation: right of reconsideration

- 89.1. Where any Person is adversely affected by an act or decision made by an employee of the Authority on behalf of or in the name of the Authority,

that Person has the right to have the matter in question referred to the Authority if

- 89.1.1. he makes an application in writing for reconsideration,
- 89.1.2. the application is received at the Authority's Office before the end of the period of 72 hours starting with the day on which the Person is given notice of the act or decision in question, and
- 89.1.3. the circumstances reasonably permit a reconsideration to take place.

89.2. On an application under Paragraph 89.1, the act or decision shall stand unless and until the Authority decides otherwise.

90. Exclusion of liability

90.1. Neither the Authority nor its Board Members, officials or agents shall be liable to any Person for any act done or omission made in the bona fide discharge or purported discharge of any duties on the part of any such Board Member, official or agent under or pursuant to these Rules.

90.2. Nothing in this Rule shall exclude liability for death or personal injury resulting from negligence.

PART 10 – SUPPLEMENTARY

91. The giving of notices, directions and other documents

- 91.1. This Rule applies where provision made (in whatever terms) by or under these Rules authorises or requires a notice, direction or any other document (including a copy of a document) to be given or sent to a Person.
- 91.2. For the purposes of this Rule, the proper address of a Person is
- 91.2.1. in the case of a body corporate, the address of the registered or principal office of the body,
 - 91.2.2. in the case of a partnership, or any other unincorporated body, the address of the principal office of the partnership or body, and
 - 91.2.3. in any other case, the last known address of the Person in question.
- 91.3. This Rule has effect subject to Rule 92 (notices, directions and documents in electronic form).

92. The giving of notices, directions and other documents in electronic form

- 92.1. This Rule applies where
- 92.1.1. any provision of these Rules authorises the giving or sending of a notice, direction or other document by its delivery to a particular person (the recipient), and
 - 92.1.2. the notice, direction or other document is transmitted to the recipient
 - 92.1.2.1. by means of an electronic communication, or
 - 92.1.2.2. by other means but in a form that nevertheless requires the use of apparatus by the recipient to render it intelligible.
- 92.2. The transmission has effect for the purposes of these Rules as a delivery of the notice, direction or other document to the recipient, but only if the requirements imposed by or under this Rule are complied with.
- 92.3. Where the Person making the transmission is the Authority, it may (subject to Paragraph 92.6) determine
- 92.3.1. the manner in which the transmission is made, and
 - 92.3.2. the form in which the notice, direction or other document is transmitted.
- 92.4. Where the recipient is the Authority

- 92.4.1. in the case of an application for the grant of any licence in accordance with these Rules, the Authority must, within 7 days of the electronic transmission, receive at the Authority's Office the original of all documents required to make the application, and
- 92.4.2. in any other case, the Authority must receive the original of such documents as it may specify within such period as it may specify.

92.5. If any requirement of Paragraph 92.4 is not complied with, the Authority may withdraw any licence and cancel any registration or other step taken by it in reliance on the information contained in the electronic transmission.

92.6. In this Rule electronic communication has the same meaning as in the Electronic Communications (Jersey) Law 2000.

93. Deemed service of notices, directions and other documents

93.1. A notice, direction or other document which is given or sent in accordance with these Rules shall, subject to Paragraph 93.2, be deemed to be received on the day shown in the table below.

93.2. Unless the context otherwise requires, if a document is received by the Authority

- 93.2.1. after 5.00 pm, on a business day, or
- 93.2.2. at any time on a Saturday, Sunday or Bank Holiday

it will be treated as being received on the next business day.

Method of Service	Deemed Day of Service
Post (or other service for next-day delivery)	The 2nd day after it was posted
Delivering the document to a permitted address	The day after it was delivered to that address
Fax/Email	If transmitted on a business day, before 4 p.m., on that day; otherwise, on the business day after the day on which it was transmitted
Other electronic means	The 2nd day after the day on which it is transmitted

94. Computation of time

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

95. Publication of Rules, regulations or guidance

95.1. This Rule applies where the Authority proposes to

95.1.1. add new Rules or regulations,

95.1.2. modify, delete or suspend any existing Rules or regulations, or

95.1.3. give any new guidance.

95.2. Before the date on which the proposed change takes effect, the Authority must publish notice of it in The Racing Calendar.

95.3. Paragraph 95.2 does not require publication of prior notice where

95.3.1. the change in question is made in a case of emergency or expediency, or

95.3.2. it is a modification, deletion or suspension of an existing Rule or regulation.

96. Meaning of rider

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

96.1.1. a Jockey,

96.1.2. a Person who holds an amateur rider's licence granted by the Authority, or

96.1.3. an Overseas Rider,

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

97. References to Jockeys

97.1. In this Manual, unless the context otherwise requires, Jockey means a Person who holds a professional riding licence granted by the Authority.

98. Reference to other types of rider

98.1. In this Manual, unless the context otherwise requires, Overseas Rider

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

98.1.2. does not include a Person who also holds a riding licence granted by the Authority.

98.2. In Parts 4 to 7, unless the context otherwise requires

Amateur Rider means

98.2.1. a Person who holds an amateur rider's licence granted by the Authority, or

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

Professional Rider means

98.2.3. a Jockey, or

98.2.4. an Overseas Rider whose authorisation by a Recognised Racing Authority corresponds to a professional riding licence granted by the Authority and who rides in a race under these Rules.

98.2.5. An Overseas Rider who holds an apprentice, conditional or other type of riding licence issued by a Recognised Racing Authority which permits that Overseas Rider to be remunerated for riding in races shall be treated as holding a professional riding licence for the purposes of paragraph 98.2.4.

99. Other definitions

99.1. Definitions of

99.1.1. terms used in only one Rule are set out in that Rule, and

99.1.2. terms used in more than one Part are set out in Rules 96 to 98 and in the following provisions of this Rule.

99.2. In this Manual, unless the context otherwise requires

Appeal Board means a board convened under Part 7 to hear appeals from decisions made by the Authority;

Arrears means all sums due to be paid in accordance with these Rules (including any unpaid stake) together with any costs assessed by the Court;

Authorised Agent means any person authorised by the Authority to act as agent or sub-agent for another person in exercise of the Authority's powers under Rule 84;

the Authority means the Channel Islands Horseracing Authority;

the Authority's Office means the office for the time being appointed by the Authority as the office of the Channel Islands Horseracing Authority (the present address is Apartment 1, Sable Argente Apartments, La Route De St. Aubin, St. Helier, Jersey JE2 3SF);

Bloodstock Industry Code of Practice means the code of practice with that name as published on the website of the British Horseracing Authority.

CIRHC means the Channel Islands Racing and Hunt Club;

Deputy Judicial Panel Chairman means an Officer (other than the President) of the Executive Committee appointed by the Judicial Panel Chairman as his deputy in accordance with the Terms of Reference for the Appeal Board;

Disciplinary Action means any action taken by the Authority under Part 6 or by the Stewards under Part (B)1;

Disciplinary Panel means a disciplinary panel convened for the purpose of carrying out an enquiry under Part 5;

Disciplinary Panel Chairman means a member of the Executive Committee selected to chair a Disciplinary Panel under Paragraph 3.1 of Schedule 3;

Disciplinary Penalty means any penalty imposed by the Authority under Rules 47 to 55 on a person for being in contravention of a Rule;

Disqualified Person means a person who is for the time being a Disqualified Person pursuant to

99.2.1. these Rules,

99.2.2. any Rules of Racing previously in force, or

99.2.3. the Authority's Regulations for Point-to-Point Steeple Chases;

Executive Committee means the executive committee of the CIRHC;

the Forfeit List means the list maintained by the Authority under Rule 79;

General Instructions means instructions relating to one or more racecourses which are issued to racecourses by the Authority;

Judicial Panel Chairman means the President of the CIRHC who oversees and is responsible for the Disciplinary Panel and Appeal Board;

Judicial Panel Secretary means the Person appointed to provide administrative support to the Judicial Panel Chairman and members of an Appeal Board;

National Hunt Flat Race means a race for horses on the flat which is run according to the weights allocated for a Jump Race;

Owner means the owner pursuant to Rule (E)79; or, where the Horse is not trained in the Channel Islands, the Person who is duly registered in the register of Owners or is otherwise registered in the country in which the Horse is trained as being a Horse's owner;

Partner means an individual or entity whose name is registered in the register of Owners in accordance with Rule (E)79;

Partnership means an arrangement through which a Horse is registered in accordance with Rule (E)79;

Person includes a body corporate;

Prescribed means prescribed by the Authority;

Prohibited Substance

99.2.4. means a substance which

99.2.4.1. originates externally to the horse, whether or not it is endogenous to it, and

99.2.4.2. is listed in any of the categories specified in (G)Schedule 1, and

99.2.5. includes the metabolites of the substance and the isomers of the substance and the metabolites;

Racecourse Managing Executive means the person who holds a racecourse licence granted by the Authority under Part (F)2;

The Racing Calendar means the work published under that name on the website of the Authority;

Recognised Racing Authority means a racing authority of a country which is for the time being recognised by the Authority under Rule 83;

these Rules means all the Rules of racing, including provisions which are contained in any other Manual (see Rule 3);

Sole Owner means an individual whose name is registered in the register of Owners in accordance with Rule (E)31;

Syndicate means an arrangement through which a horse is registered in accordance with Rule (E)48;

Top Tier Adjudicator means the Person appointed by the Authority to hear an appeal from the decision of the Appeal Board;

Trainer, in Parts 4 to 7, means any person who holds a licence to train which is granted by the Authority or whose authorisation by a Recognised Racing Authority corresponds to such a licence (which includes a permit);

Unrecognised Meeting means a meeting which

99.2.6. if it is held in the Channel Islands, has not been recognised and granted fixtures by the Authority, and

99.2.7. if it is held elsewhere, has not been authorised by a Recognised Racing Authority,

Veterinary Officer means a registered veterinary surgeon engaged by the Authority;

Veterinary Surgeon means any qualified veterinary practitioner appropriately registered to practice.

99.3. Words importing the masculine gender include the feminine.

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

Schedule 1 - Fees

The fees payable under these Rules shall be as follows:

Rule Number	Narrative	Fee (£)
(A)70.3	Deposit for an appeal against the decision of the Racecourse Stewards	£120
(A)Schedule 4 para 6.3	Deposit for an appeal against the decision of the Disciplinary Panel	£500
(A)Schedule 4 para 17.3	Deposit for an appeal against the decision of the Appeal Board	£1,000
(C)7.2	Initial application for a Trainer's Licence	£50
(C)7.2	Renewal of a Trainer's Licence	£50
(C)Schedule 2 para 2.3	Jumping assessment	£100
(D)4.2	Initial application for a Jockey's Licence	£50
(D)4.2	Renewal fee for a Jockey's Licence	£50
(D)13.2	Initial application for an Amateur Riders Licence	£50
(D)13.2	Renewal fee for an Amateur Riders Licence	£50
(D)29.3	Approval of advertising on a Jockey's clothing or equipment	£35
(E)3.3	Registering a horses name	Such fee charged by Weatherbys
(E)7.8	Registration of horses foaled outside the Channel Islands, Great Britain or Ireland – Blood or DNA Test	Such fee charged by the Approved Laboratory
(E)11.1	Change of name	Such fee charged by Weatherbys
(E)13.4	Issue, revision, re-issue or replacement of a passport	Such fee charged by Weatherbys
(E)20.5	Racing clearance notifications (RCN's)	£20
(E)21.3	Passport endorsements	Nil
(E)30.1	Registration of a sole owner	£50
(E)36.5	Registration of agent for a Recognised Company	£55
(E)43.2.4	Registration of a Partnership	£15 per member
(E)44.3	Change of name of a Partnership	£20
(E)45.2	Assignment of Partnership interest	£20
(E)48.6.1	Registration of a Syndicate	£20 per member – minimum

		£80
(E)50.3	Change of name of a Syndicate	£20
(E)55.3	Registration of a Racing Club	£100
(E)57.3.2	Registration of a single race lease agreement	£80
(E)59.2	Registration of other leasing agreements	£45
(E)60.2.2	Renewal of leasing agreements	£20
(E)68.1.3	Registration of racing colours	£20
(E)68.1.3	Registration of bespoke racing colours	£1,500
(E)68.4.2	Renewal of registration of racing colours	£20
(E)68.5	Transfer of racing colours to non-family members	£50
(E)74	Registration of authority to act as agent for owner	Nil
(E)75	Owners sponsorship agreements	£50
(F)11.1	Race meeting fixture fee (per meeting)	£300
(F)43.3	Entry surcharge for horses made through another Recognised Racing Authority	Nil
(F)45A	Supplemental entries	3% of the total race value rounded up to the nearest £5
(F)48.1.2.3	Transfer of Engagements	£50
(F)60.1	Entry processing fee	£35

Schedule 2 – Information regarded as in the public domain

1. Scope

- 1.1. This Schedule specifies certain circumstances in which information is to be regarded, for the purposes of Rule 29.1.2 (communication of Inside Information), as being in the public domain.
- 1.2. It is not, and does not purport to be, an exhaustive statement of such circumstances.

2. In the Public Domain

- 2.1. Information is regarded as being in the public domain where the information is accessible to the public on a Trainer's or owner's telephone information line or website (whether or not for payment).
- 2.2. Information is regarded as being in the public domain if both of the following conditions are satisfied.
 - 2.2.1. The first condition is that a Trainer or a Rider gives the information or expresses his opinion on a horse in a race in the course of
 - 2.2.1.1. an interview or presentation conducted in the course of television or radio broadcasting;
 - 2.2.1.2. an interview given, or article written, for the purposes of general publication (for example a written article, regular column, or website);
 - 2.2.1.3. a talk or other presentation given to a specific group or groups (such as corporate sponsorship groups) or in the context of corporate hospitality or stable yard public days.
 - 2.2.2. The second condition is that any fee paid to the Trainer or Rider for the information or opinion is no greater than that which reasonably reflects the occasion and his status.

Schedule 3 – Disciplinary Panels

1. The provisions of this Schedule apply to any enquiry before a Disciplinary Panel but they are subject to any specific requirements set out in these Rules.
2. **Selection**
 - 2.1. Subject to paragraph 2.4, the members of any Disciplinary Panel empowered to conduct an enquiry will be selected from the members of the CIRHC by the Judicial Panel Chairman in accordance with the Terms of Reference for the Disciplinary Panel.
 - 2.2. The Judicial Panel Chairman shall provide to any Person provisionally selected sufficient details of the matter in question and the individuals concerned so as to enable any Person provisionally selected to declare any interest and to disqualify himself or to seek any waivers of objection as appropriate prior to final selection.
 - 2.3. The Judicial Panel Chairman may delegate his function to the Deputy Judicial Panel Chairman.
 - 2.4. The Judicial Panel Chairman may select a person who is not a member of the CIRHC to be a member of a Disciplinary Panel if it has not been possible to constitute the Disciplinary Panel from the members of the CIRHC or if he considers it in the best interests of racing to do so. Paragraph 3.2 shall apply where any such a person is selected as the Disciplinary Panel Chairman.
3. **Role of the Disciplinary Panel Chairman**
 - 3.1. Each Disciplinary Panel shall have a Disciplinary Panel Chairman who shall be selected by the Judicial Panel Chairman in accordance with the Terms of Reference for the Disciplinary Panel.
 - 3.2. Unless either the Judicial Panel Chairman so directs, or all parties otherwise agree, the Disciplinary Panel Chairman shall be a legally qualified person of sufficient qualification and experience.
 - 3.3. Where the notification of charges includes a statement to the effect that the Authority considers the matter suitable for a preliminary hearing
 - 3.3.1. such a hearing will be held unless the Disciplinary Panel Chairman decides otherwise, and
 - 3.3.2. it will normally be held on the first Thursday after the expiry of 28 days from notification of the charges.

- 3.4. The Disciplinary Panel Chairman shall give such directions as he considers appropriate for the purpose of ensuring a fair and expeditious conduct of the proceedings.

4. Conduct of enquiry

- 4.1. So far as reasonably practical in the circumstances of any particular case and subject to Paragraph 6 of this Schedule, the Disciplinary Panel Chairman must ensure that

- 4.1.1. in respect of any matter said to give rise to a contravention of any provision of these Rules, short particulars are provided in writing to any Person who is at risk of Disciplinary Action being taken against him, sufficient for him to understand the matters to be addressed in the enquiry;
- 4.1.2. the Rules in question are identified to that Person;
- 4.1.3. that Person understands those Rules;
- 4.1.4. statements and documents to be relied upon by the Authority are provided to that Person;
- 4.1.5. that Person is allowed a reasonable time to enable him to deal fairly with the matters raised in the statements and documents;
- 4.1.6. that Person is permitted legal representation and oral evidence is heard only in the presence of that Person or his representative who shall be given a fair opportunity to question any witness;
- 4.1.7. subject to Paragraph 4.2, the proceedings are conducted in private;
- 4.1.8. having decided that Person is in contravention of any provision of these Rules, but before deciding what Disciplinary Action to take, both that Person and the Authority (or their respective representatives) are given an opportunity to address the Disciplinary Panel regarding both the nature and extent of any Disciplinary Action to be taken;
- 4.1.9. subject to Paragraphs 4.3 and 4.4, the Disciplinary Panel must provide written reasons sufficient to allow the Authority and any Person against whom Disciplinary Action has been taken to understand the Disciplinary Panel's decision and which material facts have been relied upon; and
- 4.1.10. any Person who wishes the implementation of a decision to be stayed may apply for this when the decision is announced and before the Disciplinary Panel Chairman brings the hearing to a close.

- 4.2. The Authority may decide that, in relation to such types of matters as it may specify, an enquiry may be conducted in the presence of representatives of the media and, where such representatives are to be present

- 4.2.1. there will be a presumption that the proceedings will be open to representatives of the media unless any Person involved in a

- relevant enquiry satisfies the Disciplinary Panel Chairman, on written request, that there are exceptional reasons why that enquiry should be held in private, and
- 4.2.2. any request under Paragraph 4.2.1 for a private hearing must be submitted
 - 4.2.2.1. in the case of an enquiry on an appeal made to the Authority under Rules 68 to 74 (appeal to Authority against Stewards' decision), at the time of the appeal or
 - 4.2.2.2. otherwise, within 3 days of receipt of the letter requiring attendance at an enquiry.
 - 4.3. A Disciplinary Panel shall provide written reasons, save for in exceptional circumstances:
 - 4.3.1. in the case of an appeal from a racecourse in accordance with Rule 68, within 48 hours following the conclusion of the hearing; or
 - 4.3.2. where the Disciplinary Panel sits as a tribunal of first instance in accordance with Rule 75, within 20 working days of the conclusion of the hearing.
 - 4.4. A failure to comply with the requirements of Paragraph 4.3 shall not invalidate the proceedings or its outcome.
 - 4.5. The Disciplinary Panel Chairman may decide that because of special circumstances the enquiry is to be conducted in a manner which involves a substantial departure from the procedure set out in Paragraphs 4.1 to 4.4 and, if he does, he will on an application made by any Person subject to the enquiry give reasons for his decision.
 - 4.6. In all other cases reasons need not be given for decisions concerning the conduct of an enquiry.
 - 4.7. The Disciplinary Panel Chairman will normally determine questions of procedure on the basis of written submissions without a hearing.
 - 4.8. The provisions of Paragraphs 4.9 to 4.12 do not apply
 - 4.8.1. to any appeal under Rules 68 to 74, or
 - 4.8.2. to the extent that the Disciplinary Panel Chairman or the Authority, in writing, waives the application of some or all of such requirements.
 - 4.9. At the time that the Authority notifies a Person who is the subject of the enquiry that an enquiry has been convened, and supplies him with particulars of the matters and evidence on which the Authority relies, the

Authority will also provide him with a form for completion and that Person must, before the enquiry, complete the form disclosing

- 4.9.1. whether he admits to being in contravention of these Rules (see also Paragraph 10),
 - 4.9.2. whether, and to what extent, he admits the evidence of any statement obtained by the Authority and given to him (this is necessary even if a Person admits to a contravention),
 - 4.9.3. the nature of the case he intends to advance at the enquiry,
 - 4.9.4. the identity of any witness he intends to call together with a summary of their evidence or a copy of their statement, and
 - 4.9.5. the time he estimates he will require to present his case at the enquiry.
- 4.10. Unless the Authority otherwise determines, the completed form must be delivered to the Authority's Office
- 4.10.1. before the end of the period of 21 days starting with the date of receipt of the form, or
 - 4.10.2. before the start of the period of 10 days that ends with the date fixed for start of the enquiry,
- whichever is the earlier.
- 4.11. Where there is a failure to return the form in accordance with Paragraphs 4.9 and 4.10, the Disciplinary Panel may
- 4.11.1. refuse to allow any evidence which is not disclosed in accordance with Paragraph 4.9 to be given at the enquiry, or
 - 4.11.2. adjourn the enquiry and make an order for costs pursuant to the powers of the Authority under Rule 39.4.
- 4.12. A legally qualified member of the Disciplinary Panel may, in the absence of the Disciplinary Panel Chairman, exercise any of the functions under this Paragraph.
- 4.13. All questions concerning the admissibility of evidence shall be for determination by each Disciplinary Panel in its discretion and a panel shall not be bound by any enactment or Rule of law relating to the admissibility of evidence before a court of law or statutory tribunal.
- 4.14. A Disciplinary Panel shall reach its decision by simple majority and any such decision shall be announced as the decision of the panel.
- 4.15. Reasons given for decisions shall not include references to any minority opinion or dissenting view.

5. Plea bargains

- 5.1. A Person who wishes to explore with the Authority the possibility of admitting to lesser charges if more serious charges are not proceeded with (a plea bargain) should make this known to the Authority as soon as possible and ideally before the submission of the form referred to in Paragraph 4.9.
- 5.2. No member of a Disciplinary Panel will be informed of this unless a plea bargain is concluded.
- 5.3. Save in very simple cases it will be necessary for the Person seeking a plea bargain and the Authority to agree a statement of relevant facts regarding the charges it is proposed should be admitted so as to provide the Disciplinary Panel with sufficient information to enable it to make an accurate assessment of the seriousness of the matter.
- 5.4. If the facts in respect of any admitted charges cannot be agreed it may be necessary to convene a preliminary hearing so that the Disciplinary Panel can assess whether disagreement is such that it should be resolved before a decision on what Disciplinary Action to take is made, and if so give directions as to how that should be done.

6. Confidentiality

- 6.1. Any Person who attends an enquiry that is conducted in private must respect the privacy and confidentiality of the enquiry proceedings and of the evidence and of all documents and submissions prepared in connection with them.
- 6.2. All evidence and representations shall be privileged even if the hearing is not conducted in private but this provision is not intended in any way to constrain what a Disciplinary Panel may refer to in its written reasons even though these may be released for general publication.
- 6.3. Without prejudice to Paragraphs 6.1 and 6.2, the Authority may, at any stage of disciplinary proceedings publish any report or 'press release' regarding the proceedings, including (but not limited to)
 - 6.3.1. the details of proceedings for contravention of any provision of these Rules which have been taken against any Person (including any facts alleged in support),
 - 6.3.2. any topics of the enquiry or appeal hearing,
 - 6.3.3. any direction or finding made or Disciplinary Action taken, and
 - 6.3.4. whether the hearing is held in private or open to representatives of the media.
- 6.4. It is irrelevant for the purposes of Paragraph 6.3
 - 6.4.1. whether the publication is made

- 6.4.1.1. at the stage of investigation, enquiry or appeal, or
- 6.4.1.2. in the public press and media, on the website of the Authority or in such other manner as the Authority may consider appropriate.

6.5. Without prejudice to Paragraphs 6.1 and 6.2, the Authority may share such evidence, documentation, submissions or representations with any Person where it is of the opinion that to do so may assist the initiation, conduct or defence of any criminal or quasi criminal investigation or proceeding, or the regulatory or disciplinary process of any trade profession or sport whether in the Channel Islands or elsewhere.

7. Time to consider new allegations

7.1. If a Disciplinary Panel considers that a Person appearing at the enquiry may be liable to Disciplinary Action on account of conduct, or of contravention of a Rule, which has not previously been notified to him by the Authority (and whether in addition to or in substitution for the conduct or Rules of which he was notified), the Disciplinary Panel Chairman shall ensure that the Person is given a reasonable time to deal with the new allegations or addition or substitution of Rule, including by adjourning the proceedings in an appropriate case.

8. Appointment of assessors

8.1. The Disciplinary Panel Chairman may appoint one or more legal or scientific assessors to assist a Disciplinary Panel and may take advice from such Persons.

8.2. The Disciplinary Panel Chairman shall ensure that the role of such assessors shall be limited to the provision of advice and that such Persons shall not participate in the making of the decision itself.

9. Adjournment and non-attendance

9.1. A Disciplinary Panel may adjourn a hearing for such period and upon such terms (including as to costs) as it considers appropriate.

9.2. This Paragraph applies where a Person who is required to attend a hearing fails to do so. If the Disciplinary Panel is satisfied that there are no reasonable grounds for the failure to attend, it may proceed with the hearing in such manner as it considers appropriate, including making its decision concerning any alleged contravention of these Rules by the Person and taking any Disciplinary Action against him.

10. Standard of proof

10.1. Where any fact or matter is required to be established to the satisfaction of the Disciplinary Panel, the standard of proof shall be the civil standard ('balance of probabilities' or 'more likely than not').

11. Miscellaneous

11.1. Where the horse is in joint or other multiple ownership only one representative from amongst the owners shall attend.

11.2. Where an enquiry concerns the possible disqualification or suspension of a horse on account of the alleged presence of a Prohibited Substance, the owner, or in the case of a joint or other multiple ownership, the representative shall be

11.2.1. given notice of the enquiry,

11.2.2. provided with all statements and documents to be relied upon by the Authority, and

11.2.3. permitted to attend the enquiry with legal representation and to question witnesses and make submissions.

11.3. In any other case where the matters being enquired into may result in the disqualification, suspension or alteration in the placing of a horse

11.3.1. an application may be made on behalf of the owner seeking permission to be present in person or represented, and

11.3.2. the Disciplinary Panel Chairman may determine the application without a hearing upon such terms as to participation and legal representation in the enquiry (including merely as an observer) as the Disciplinary Panel Chairman may consider appropriate and without any requirement to give reasons.

11.4. Notices and communications to Persons who are bound by these Rules shall be sent by pre-paid post or by fax or by e-mail to the address or number as appropriate currently maintained for such Person at the Authority's Office save that where such Person has elected to be legally represented, communication may be made to such representative.

11.5. The Authority will make arrangements for the hearing to be recorded notwithstanding that the hearing may be taking place in private.

11.6. Any such recording shall belong to the Authority and, subject to Paragraph 11.7, no Person shall have the right to compel the production of it or a copy or a transcript save as required by law in connection with civil or criminal proceedings and subject to meeting any costs or expenses of the Authority incurred in providing it.

11.7. A Person who has commenced an appeal by lodging a notice of appeal will, as soon as practicable, be provided with a transcript for use in connection with the appeal.

11.8. Copies and transcripts of recordings shall at all times remain confidential.

12. Applications for permission under Rule 63.2

12.1. An application to the Authority by a Disqualified Person for permission under Rule 63.2 for the Disqualified Person to be employed in a racing stable may not be made until the latter of

12.1.1. the expiry of the time limit for lodging an appeal to the Appeal Board or

12.1.2. the day after the publication of the Appeal Board's decision, or

12.1.3. the expiry of any period directed by the Authority under Rule 51.3 (directions by Authority when imposing a disqualification);

and accordingly no application will be considered in conjunction with any plea of mitigation made to a Disciplinary Panel.

12.2. An application for the Authority's permission, as referred to in Paragraph 12.1, must include

12.2.1. a full written submission in support,

12.2.2. any documentary evidence on which the applicant wishes to rely, and

12.2.3. a summary of the evidence of any supporting witness.

12.3. The Disciplinary Panel which deals with the application may or may not be the same as or include Persons who served on the panel which imposed the disqualification.

12.4. The Authority will be asked if it opposes the application and if so why.

12.5. The Disciplinary Panel Chairman shall then decide how to proceed to determine the application including whether to hold an oral hearing.

Schedule 4 – Appeal Boards

Part 1 – Appeal Board Panels

1. Appeal Board Panels

- 1.1. The provisions of this Schedule apply to any appeal before an Appeal Board but they are subject to any specific requirements set out in these Rules.
- 1.2. Subject to paragraph 1.8, the members of any Appeal Board will be selected from the members of the CIRHC by the Judicial Panel Chairman in accordance with the Terms of Reference for the Appeal Board.
- 1.3. The Judicial Panel Chairman shall provide to any Person provisionally selected sufficient details of the matter in question and the individuals concerned so as to enable any Person provisionally selected to declare any interest and to disqualify himself or to seek any waivers of objection as appropriate prior to final selection.
- 1.4. Each Appeal Board shall have an Appeal Board Chairman who shall be selected by the Judicial Panel Chairman in accordance with the Terms of Reference for the Appeal Board.
- 1.5. The Judicial Panel Chairman may delegate his function to the Deputy Judicial Panel Chairman.
- 1.6. The Appeal Board Chairman shall:
 - 1.6.1. be a lawyer of more than 10 years post call or admission in Jersey, Guernsey, England & Wales, Scotland or Northern Ireland; and
 - 1.6.2. not be a Steward.
- 1.7. No Person is eligible to form part of an Appeal Board:
 - 1.7.1. if he has been the holder of a licence granted by the Authority (whether as Rider or Trainer) within the previous 5 years; or
 - 1.7.2. if he is a Board Member of, or is employed by, the Authority.
- 1.8. The Judicial Panel Chairman may select a person who is not a member of the CIRHC to be a member of an Appeal Board if it has not been possible to constitute the Appeal Board from the members of the CIRHC or if he considers it in the best interests of racing to do so. Paragraph 1.6 shall apply where any such a person is selected as the Appeal Board Chairman.

Part 2 - Appeal rights

2. Decisions subject to appeal

- 2.1. There shall be a right of appeal to an Appeal Board against any of the decisions specified in Paragraph 2.2, 2.3 or 2.5.
- 2.2. The decisions specified here are any decision of the Authority
 - 2.2.1. to refuse or withdraw a licence on the ground that a Person is not a suitable Person,
 - 2.2.2. to refuse a licence on the ground that such action is necessary in the interests of racing, pending the outcome of an ongoing investigation or process (whether or not undertaken by the Authority),
 - 2.2.3. to withdraw or suspend a licence under Rule 56, or
 - 2.2.4. to exercise the power of prohibition in Rule 58 (power to prohibit overseas riders from riding in races under these Rules).
- 2.3. The decisions specified here are any final decision or order of a Disciplinary Panel, apart from the following
 - 2.3.1. the suspension of a rider under Rule 54 (rider's suspension at one racecourse extended to all racecourses),
 - 2.3.2. the granting of (but not a decision to refuse to grant) an exclusion order under Rule 57 (power to issue exclusion orders),
 - 2.3.3. the refusal of permission (but not a decision to grant permission) under Rule 63.2 (permission for disqualified person to be employed in a racing stable),
 - 2.3.4. the imposition on granting of permission under Rule 63.2 (permission for disqualified person to be employed in a racing stable), the imposition of any limitation, condition or restriction on such permission,
 - 2.3.5. a final decision or order made on an appeal brought and heard under Rules 68 to 74 (appeals to the Authority from a Stewards' decision), and
 - 2.3.6. the allowing or dismissal of an application under Rule 62.3 (power to order that a suspension imposed by a Recognised Racing Authority shall not apply).
- 2.4. But Paragraph 2.3.5 does not exclude a right of appeal against any Disciplinary Penalty imposed for contravention of Rule (B)54 (Schooling and/or Conditioning).
- 2.5. The decisions specified here and any decision or order in respect of which the Authority considers it appropriate to extend a right of appeal.

3. Persons who may bring an appeal

- 3.1. Subject to Paragraph 3.3, the only Persons who may bring an appeal are
 - 3.1.1. a Person who has had a licence refused, withdrawn or suspended,

- 3.1.2. a Person who has been subjected in accordance with these Rules to a Disciplinary Penalty or an award, order or other sanction,
 - 3.1.3. a Person who has been found to have contravened a provision of these Rules,
 - 3.1.4. in the case of a decision to disqualify or suspend a horse or demote its placing, one or more of the Trainer, the Rider or the owner of the horse, or
 - 3.1.5. the Authority.
- 3.2. Where more than one of the Persons specified in Paragraph 3.1 wishes to appeal
- 3.2.1. the appeal shall be treated as a joint appeal, and
 - 3.2.2. the appellants shall only be permitted joint legal representation and must choose one representative from amongst them,
- unless the Appeal Board Chairman decides otherwise.
- 3.3. The Authority may extend the right of appeal to other Persons if it considers it appropriate to do so.

4. Grounds of appeal

- 4.1. Subject to Paragraph 4.2, the grounds for bringing an appeal are
- 4.1.1. that the reasons given are insufficient to support the decision,
 - 4.1.2. that the hearing was conducted in a way which was substantially unfair and prejudicial to the appellant,
 - 4.1.3. that there was insufficient material on the basis of which a reasonable decision maker could have made the decision in question,
 - 4.1.4. that the decision maker
 - 4.1.4.1. misconstrued,
 - 4.1.4.2. failed to apply, or
 - 4.1.4.3. wrongly applied,
 these Rules, General Instructions or regulations which are relevant to the decision,
 - 4.1.5. that any Disciplinary Penalty or any award, order or other sanction is so disproportionate that no reasonable decision maker could have decided upon it, or
 - 4.1.6. that there is evidence available for the appeal which, had it been available at the original hearing, would have caused the decision maker to reach a materially different decision.
- 4.2. The Authority does not have the right to appeal a decision under the ground specified in Paragraph 4.1.2.

5. Applications to stay implementation or vary conditions

- 5.1. There shall also be a right to apply to an Appeal Board
 - 5.1.1. to stay the implementation of a decision, or
 - 5.1.2. to vary any conditions upon which a stay may have been granted by the decision maker,

pending the Appeal Board's own decision on an appeal brought under this Schedule.
- 5.2. There are two grounds for an application under Paragraph 5.1
 - 5.2.1. that no application for a stay was made to the decision maker and it is appropriate to grant a stay, or
 - 5.2.2. that the refusal of the decision maker to grant a stay was unfairly made or is otherwise unjust, or that the conditions attached to the grant of any stay are unreasonable.
- 5.3. An application to stay or vary a decision must be made within 48 hours of the decision.
- 5.4. The application will be determined by an Appeal Board Chairman acting alone and normally only in writing, but in a sufficiently urgent case an Appeal Board Chairman may allow an application for an expedited hearing before him.
- 5.5. As much notice as practically possible will be given to the Authority when an application is received.
- 5.6. The Appeal Board Chairman may grant a stay subject to such conditions as he considers appropriate.
- 5.7. In reaching his decision the Appeal Board Chairman will take into account
 - 5.7.1. whether there is a good arguable case for the substantive appeal succeeding, at least to the point where the Appeal Board would be likely to substitute a Disciplinary Penalty or an award, order or other sanction which would have attracted a stay under Rule 77 had it been originally imposed by the Authority,
 - 5.7.2. whether the reason given by the applicant for not applying to the decision maker for a stay is sufficient, and
 - 5.7.3. the fairness to the applicant and the interests of racing in the context of the time likely to be taken by the substantive appeal and any other relevant circumstances.

Part 3 - Appeal Board procedure

6. Notice of appeal

- 6.1. A Person who wishes to appeal a decision (the appellant) must lodge a notice of appeal addressed to the Judicial Panel Secretary at the Authority's Office
 - 6.1.1. within 7 days of the date of notification of the decision appealed against, but
 - 6.1.2. if the decision appealed against involves a finding of a contravention of any provision of Rule (B)54 or (B)55.1.1, within 48 hours of that date.
- 6.2. When reasons are not given at the time of the decision, the date of notification shall be the date upon which written reasons are despatched to the appellant.
- 6.3. In a case within Paragraph 6.1.1, the notice of appeal must
 - 6.3.1. state the specific decision or decisions being appealed,
 - 6.3.2. set out any ground of appeal and the substantive injustice of allowing the original decision to stand,
 - 6.3.3. set out the facts upon which the appeal is based,
 - 6.3.4. be accompanied by a deposit of £500,
 - 6.3.5. where appropriate, apply for leave to present new evidence under Paragraph 10.2, and
 - 6.3.6. state whether the appellant will wish the Appeal Board to view any video evidence at the hearing of the appeal.
- 6.4. In a case within Paragraph 6.1.2, the notice of appeal must
 - 6.4.1. state the specific decision or decisions being appealed, and
 - 6.4.2. be accompanied by a deposit of £500,and the appellant shall have a further 5 days to comply with the requirements of Paragraphs 6.3.2, 6.3.3, 6.3.5 and 6.3.6.
- 6.5. The deposit may be returned to an appellant, save:
 - 6.5.1. that it shall be forfeited where the Appeal Board concludes that the appeal had no realistic prospect of success. In such circumstances, the written reasons shall address the issue;
 - 6.5.2. where the Appeal Board orders that it be applied towards the satisfaction of any costs award.
- 6.6. Where a notice of appeal is lodged by electronic transmission, the deposit required to accompany the notice of appeal must be received not later than 5.00pm on the third day following the date of electronic transmission (including both the day of despatch and receipt).

- 6.7. An appellant who seeks relief from the requirement to lodge a deposit on account of hardship (which alone shall be the relevant consideration) must lodge with the notice of appeal a statement which
- 6.7.1. requests relief from the deposit requirement, and
 - 6.7.2. sets out the relevant grounds and facts supporting the claim of hardship.
- 6.8. The request for relief shall be considered by the Appeal Board Chairman and his decision whether to give no relief or partial or total relief shall be final without any requirement to give reasons.

7. Convening an Appeal Board

- 7.1. Upon a notice of appeal being lodged at the Authority's Office in accordance with Paragraph 6, such notice of appeal shall be passed to the Judicial Panel Chairman who shall convene an Appeal Board consisting of an Appeal Board Chairman and two other Persons from the membership of the CIRHC.

8. Initial stages

- 8.1. The respondent shall, within 7 days of receiving the notice of appeal, nominate an individual or individuals to represent it and shall notify the appellant and the Judicial Panel Secretary of the individual so nominated and of any subsequent change in the nomination.
- 8.2. The appellant may nominate an individual or individuals to represent him and shall notify the respondent (or its representative) and the Judicial Panel Secretary of any individual so nominated.
- 8.3. Nominations shall state the individual and the address to which communications concerning the appeal proceedings should be made.
- 8.4. The respondent shall serve a written reply to the notice of appeal on the appellant and the Judicial Panel Secretary as soon as possible and in any event within 14 days of the lodging of the notice of appeal.
- 8.5. Where appropriate, the reply must include any application for leave to present new evidence under Paragraph 10 and state whether the respondent will wish the Appeal Board to view any visual recording at the hearing.

9. Evidence

- 9.1. Subject to Paragraphs 9.2 and 9.3, an appeal shall be by way of a review only on documents and video evidence considered at the original hearing (where a request for video evidence has been made) and without oral evidence.

- 9.2. An Appeal Board may in exceptional circumstances order that the appeal takes place as a full rehearing of the case. The decision of the Appeal Board as to whether to grant a full rehearing of the case shall be final and binding.
- 9.3. The respondent and the appellant shall be entitled to make oral submissions to the Appeal Board and the Appeal Board may:
 - 9.3.1. on a prior application made to it, order that Paragraph 9.1 shall not apply, and
 - 9.3.2. give leave for the appeal to take place as a full rehearing under Paragraph 9.2 or to present new evidence under Paragraph 10.

10. New evidence

- 10.1. The Appeal Board shall hear new evidence only where it has given leave that it may be presented.
- 10.2. An application for leave to present new evidence must be made in the notice of appeal or in the reply, setting out the nature and the relevance of the new evidence and why it was not presented at the original hearing.
- 10.3. Save in exceptional circumstances, the Appeal Board shall not grant leave to present new evidence unless
 - 10.3.1. it is satisfied with the reason given as to why it was not, or could not reasonably have been, obtained and presented at the original hearing, and
 - 10.3.2. it is satisfied that the evidence is cogent and might reasonably have caused the decision maker to reach a different conclusion.
- 10.4. The Appeal Board's decision may be subject to further appeal to the Top Tier Adjudicator but in the absence of any such further appeal within the time period specified in Paragraph 17.2 shall be final.
- 10.5. The Judicial Panel Secretary shall prepare five sets of documents identically bundled and paginated, three of which shall be provided to the Appeal Board members and the others to the appellant and the respondent.
- 10.6. The sets of documents must be provided at least 7 days before the hearing and must comprise the following (or their equivalent)
 - 10.6.1. any documents or other evidence referred to at the original hearing relevant to the appeal;
 - 10.6.2. any transcript of the original hearing or extract from it of matters relevant to the appeal;

- 10.6.3. any notice published by the Authority concerning the decision being appealed and any written reasons for the decision not contained in such published notice;
- 10.6.4. any new evidence;
- 10.6.5. the notice of appeal;
- 10.6.6. the reply.

11. Chairman's instructions

- 11.1. The Appeal Board Chairman may upon the application of a party or otherwise, give any instructions considered necessary for the proper conduct of the proceedings, including but not limited to
 - 11.1.1. requiring a Disciplinary Panel to clarify and/or amplify some aspect of the reasons given for the decision,
 - 11.1.2. lengthening or shortening any time limit,
 - 11.1.3. adapting or dispensing with any procedural steps set out in this Schedule,
 - 11.1.4. requiring a record to be made of the proceedings or any part of them,
 - 11.1.5. ordering Persons bound by these Rules to attend a hearing,
 - 11.1.6. holding a preliminary hearing, and
 - 11.1.7. requiring the provision of written submissions.
- 11.2. The decision of the Appeal Board Chairman shall be final.

12. The hearing

- 12.1. The Appeal Board may adjourn a hearing for such a period and upon such terms (including as to costs) as it considers appropriate.
- 12.2. Appeal hearings shall be conducted in private, except in relation to those matters which were conducted at the hearing below in the presence of representatives of the media, but in all other respects how, when and where the Appeal Board considers appropriate.
- 12.3. Reasonable notice shall be given by the Appeal Board of the date, time and venue of the appeal.
- 12.4. The appellant and the respondent shall respectively be given the opportunity to respond to the other's submissions in support of their applications, if any, to present new evidence.
- 12.5. Subject to the Appeal Board deciding to the contrary, the following procedures will apply at appeal hearings
 - 12.5.1. the appellant will summarise their case,
 - 12.5.2. the respondent will summarise their case,
 - 12.5.3. any application to present new evidence will be dealt with,

- 12.5.4. the appellant will present new evidence to the extent permitted,
 - 12.5.5. the respondent will present new evidence to the extent permitted,
 - 12.5.6. where there is a witness, the Appeal Board, the respondent and the appellant shall have an opportunity to question each witness, and
 - 12.5.7. the respondent will make any closing submissions before the appellant.
- 12.6. The Appeal Board may proceed in the absence of the appellant or the respondent in such manner as it considers appropriate, unless the Appeal Board is satisfied that there are reasonable grounds for the failure to attend.
- 12.7. The Appeal Board may, in the face of non-compliance with an order, requirement or instruction of the Appeal Board, take any action it considers appropriate, including an award of costs against the offender.

13. Decisions of an Appeal Board

- 13.1. The Appeal Board should allow an appeal
- 13.1.1. if satisfied that one or more of the grounds in Paragraph 4 have been made out and it would be unfair to allow the decision to stand, or
 - 13.1.2. where new evidence has been presented on the appeal and the Appeal Board is satisfied in the light of that evidence that the decision was wrong.
- 13.2. In addition to allowing or dismissing an appeal, the Appeal Board may
- 13.2.1. exercise any power which the original decision maker could have exercised apart from
 - 13.2.1.1. making an interim decision affecting a Disciplinary Penalty or an award, order or other sanction, or
 - 13.2.1.2. granting or varying permission under Rule 63.2 (permission for disqualified person to be employed in a racing stable),
 - 13.2.1.3. remit the matter for re-hearing,
 - 13.2.1.4. order, in accordance with Paragraph 6.5, that any deposit be forfeited, returned or applied to satisfy any costs award,
 - 13.2.1.5. where the appeal succeeds on grounds which include those set out in Paragraph 4.5, increase or decrease any Disciplinary Penalty or any award, order or other sanction originally imposed, or

13.2.1.6. make such further or other order as it considers appropriate, either generally or for the purpose of giving effect to its decision.

- 13.3. A decision, order, requirement, or instruction of the Appeal Board shall be determined by a majority which must include the Appeal Board Chairman.
- 13.4. But Paragraph 13.3 does not apply to any determination which this Schedule provides is to be made by the Appeal Board Chairman alone.
- 13.5. Any determination under Paragraph 13.3 shall be the determination of the Appeal Board and neither the notification of a decision nor any written reasons subsequently given shall include any reference to a minority or dissenting view.
- 13.6. A decision of the Appeal Board shall, subject to Part 5 of this Schedule, be final and binding, without prejudice to any right that the appellant may have to pursue further action in relation to the subject matter of any appeal to a judicial hearing.
- 13.7. If an Appeal Board is unable to reach a decision in accordance with Paragraph 13.3, the Appeal Board Chairman shall so certify and the Judicial Panel Chairman shall convene a new Appeal Board consisting of different members who shall proceed to hear the matter as soon as may be convenient.

14. Costs

14.1. Subject to Paragraph 14.2, in respect of the original hearing and the appeal, the Appeal Board shall have the power to make such order as to costs as it considers appropriate.

14.2. Where

14.2.1. an appeal has been brought by the Authority, and

14.2.2. that appeal has failed

the Appeal Board shall order that the Authority pay the respondent's costs of the appeal save to the extent that (1) the respondent has acted unreasonably in connection with the appeal, and/or (2) the costs incurred by the respondent in connection with the appeal are unreasonable.

14.3. But no party shall be required to pay or contribute to another party's costs, or to the costs of the proceedings, in excess of £10,000 in the aggregate.

15. Written decision

- 15.1. As soon as practicable after the hearing, the Appeal Board shall publish a written statement of its decision, stating
 - 15.1.1. the name of the appellant, the decision or decisions appealed against and the grounds of appeal,
 - 15.1.2. whether or not the appeal is allowed, and
 - 15.1.3. the order or orders made by the Appeal Board.
- 15.2. The written statement shall be signed and dated by the Appeal Board Chairman and be the conclusive record of the decision.
- 15.3. Upon the request of any party to the Appeal, the Appeal Board shall within a reasonable timeframe give written reasons for the decision and may publish these in such manner as the Appeal Board Chairman considers appropriate.
- 15.4. No request for written reasons made under Paragraph 15.3 shall be considered unless it is received by the Judicial Panel Secretary within 5 days of the date of the announcement of the decision.

Part 4 - Confidentiality

16. Confidentiality

- 16.1. Any appellant or other Person taking part in any appeal process which is conducted in private shall respect the privacy and confidentiality of the appeal proceedings and of the evidence and of all documents and submissions prepared in connection with them.
- 16.2. All evidence and representations shall be privileged even if the hearing is not conducted in private.
- 16.3. But Paragraphs 16.1 and 16.2 are not intended in any way to constrain
 - 16.3.1. what an Appeal Board may refer to in its written reasons even though these may be released for general publication, or
 - 16.3.2. what any party may seek to rely on should it pursue further action in relation to an appeal to the Top Tier Adjudicator or to the subject matter of any appeal to a judicial hearing.
- 16.4. Without prejudice to Paragraphs 16.1 and 16.2, the Authority may share such evidence, documentation, submissions or representations with any Person where it is of the opinion that to do so may assist the initiation, conduct or defence of any criminal or quasi criminal investigation or proceeding, or the regulatory or disciplinary process of any trade profession or sport whether in the Channel Islands or elsewhere.

Part 5 – Appeals to the Top Tier Adjudicator

17. Timeframe for subsequent appeal to the Top Tier Adjudicator

- 17.1. Any appellant who is dissatisfied with the findings of the Appeal Board may, in the limited circumstances set out in Paragraph 18, seek leave to appeal to the Top Tier Adjudicator.
- 17.2. The appellant must lodge a notice seeking leave to appeal addressed to the Appeal Board Chairman at the Authority's Office within 7 days of the date of the written decision of the Appeal Board being published under Paragraph 15.
- 17.3. The application must be accompanied by a deposit of £1,000.

18. Grounds where an appeal to the Top Tier Adjudicator is permitted

- 18.1. Leave to appeal to the Top Tier Adjudicator may only be made on one or more of the following grounds:
 - 18.1.1. that the Appeal Board has acted outside or beyond its powers;
 - 18.1.2. that the Appeal Board has misdirected itself as to the Rules or General Instructions;
 - 18.1.3. that the Appeal Board's decision is irrational such that no reasonable decision maker could have come to the same decision.
- 18.2. The Appeal Board Chairman will examine the ground of appeal set out in the notice seeking leave against the facts of the case to see whether one or more of the grounds of review applies.
- 18.3. If the Appeal Board Chairman is satisfied that an arguable case has been made out then he must grant the right of appeal to the Top Tier Adjudicator.
- 18.4. If leave to appeal is refused then the deposit shall be forfeited.
- 18.5. The decision of the Appeal Board Chairman shall be final.

19. Appointment of the Top Tier Adjudicator

- 19.1. If leave to appeal is granted by the Appeal Board Chairman then the Authority will appoint a Top Tier Adjudicator to review the appeal.
- 19.2. The Top Tier Adjudicator will determine the appeal based solely on the written decision of the Appeal Board and the grounds of appeal set out by the appellant in the application for leave to appeal.
- 19.3. There will be no hearing.
- 19.4. The Top Tier Adjudicator will deliver his decision in writing and shall have all of the powers set out in Paragraph 13.2.

- 19.5. The deposit may be returned to an appellant, save:
- 19.5.1. that it shall be forfeited where the Top Tier Adjudicator concludes that the appeal had no realistic prospect of success. In such circumstances, the written reasons shall address the issue;
 - 19.5.2. where the Top Tier Adjudicator orders it be applied towards the satisfaction of any costs award.
- 19.6. The Top Tier Adjudicator shall have the power to make such order as to costs as he considers appropriate.

20. Persons eligible to be appointed as a Top Tier Adjudicator

- 20.1. The Authority shall endeavor to appoint a legally qualified member of the British Horseracing Authority's Disciplinary Panel as the Top Tier Adjudicator.
- 20.2. If it is not possible to appoint such a person then the Authority shall look to appoint a Person from another Recognised Racing Authority of equivalent status.
- 20.3. If it is not possible to appoint any person under paragraphs 20.1 or 20.2 then the Authority shall refer the matter to an independent sports resolution body to appoint a suitable person as the Top Tier Adjudicator.

Schedule 5 - Recognised Racing Authorities

Algeria	Societe des Courses Hippiques et du Pari Mutuel
Argentina	Jockey Club Argentino
Australia	Australian Jockey Club Australian Racing Board Queensland Turf Club South Australian Jockey Club Tasmanian Turf Club Victoria Racing Club Western Australian Turf Club
Austria	Jockey Club for Austria
Bahrain	Equestrian and Horse Racing Club
Barbados	Barbados Turf Club
Belgium	Jockey Club of Belgium
Bolivia	Jockey Club of Bolivia
Brazil	Jockey Club Brasileiro/Jockey Club of Sao Paulo
Bulgaria	Centralen Hipodrom
Canada	Jockey Club of Canada
Chad	Association d'Encouragement pour l'Amelioration des Races de Chevaux au Tchad
Channel Islands	Channel Islands Racing and Hunt Club
Chile	Club Hipico of Santiago
Columbia	Association Colombiana de Cuadores de Caballos PSI
Croatia	Jockey Club of Croatia
Cyprus	Cyprus Turf Club

Czech Republic	Jockey Club Ceske Republiky
Denmark	Jockey Club of Denmark
Ecuador	Jockey Club of Ecuador
France	France-Galop
Germany	Direktorium fur Vollblutzucht und Rennen
Great Britain	The British Horseracing Authority
Greece	Jockey Club of Greece
Hong Kong	The Hong Kong Jockey Club
Hungary	National Horseracing Ltd.
India	Royal Western India Turf Club Royal Calcutta Turf Club Madras Race Club Bangalore Turf Club Ltd Hyderabad Race Club
Ireland	Irish Turf Club Irish National Hunt Steeple Chase Committee
Isle of Man	Manx Racing Authority
Israel	Ministry of Agriculture
Italy	A.S.S.I. (ex U.N.I.R.E.)
Jamaica	Jockey Club of Jamaica
Japan	Japan Racing Association National Association of Racing
Kenya	Jockey Club of Kenya
Korea	Korea Racing Association
Lebanon	Societe pour la Protection et l'Amelioration des Chevaux Arabes au Liban
Macau	Macau Jockey Club

Malaysia	Malayan Racing Association
Mauritius	Mauritius Turf Club
Mexico	Jockey Club Mexicano A.C.
Morocco	Societe Royale d'Encouragement du Cheval
Netherlands	Stichting Nederlandse Draf-en-Rensport
New Zealand	New Zealand Thoroughbred Racing Inc
Norway	Norsk Jockey Club
Pakistan	Jockey Club of Pakistan
Panama	Panama Turf Authority
Paraguay	Jockey Club of Paraguay
Peru	Jockey Club of Peru
Philippines	Manila Jockey Club Philippine Racing Club
Poland	Polish Jockey Club
Qatar	Racing and Equestrian Club
Romania	Jockey Club of Romania
Russia	Rosplemkonzavod
Saudi Arabia	The Equestrian Club
Serbia	Horsemanship Federation of Serbia
Singapore	Singapore Turf Club
Slovakia	Turf Direktorium
Slovenia	Slovenian Turf Club
South Africa	National Horseracing Authority
Spain	Sociedad de Fomento de la Cria Caballar de Espana Jockey Club Espano

Sweden	The Swedish Jockey Club
Switzerland	Schweizer Galopprensport Verband Federation Suisse du Galop
Thailand	The Royal Bangkok Sports Club
Trinidad and Tobago	Trinidad and Tobago Racing Authority
Tunisia	Societe des Courses de Tunis
Turkey	Jockey Club of Turkey
U.A.E.	Emirates Racing Association
United States of America	The Jockey Club, State Racing Commissions and Boards
Uruguay	Jockey Club of Montevideo
Venezuela	Institutio Nacional de Hipodromos

Schedule 6 – Licensing and Registrations

1. Applications to the Authority for licences and registrations

- 1.1. The Authority shall decide whether or not an application for the grant or renewal of a licence or registration should be granted or refused or granted subject to restrictions or conditions.
- 1.2. An applicant for the grant or renewal of a licence or registration is required to satisfy the Authority that he meets all the criteria contained within the guidance notes which accompany the Prescribed form.
- 1.3. The applicant shall provide such information and documents and attend for interview at the Authority's offices or by telephone as may be required to enable the effective determination of the matters relevant to the application. Determination of the application may also require the provision of information or documents and the attendance for interview, etc by another person relevant to the application, such as the employer of an applicant for a trainer's licence.
- 1.4. A decision by the Authority to grant a licence or registration shall be sent to the applicant in writing. A decision to refuse the application or to grant it subject to restrictions or conditions shall be sent to the applicant accompanied by written reasons for the refusal or decision to impose conditions or restrictions.
- 1.5. An applicant who is aggrieved by a decision of the Authority shall have a right to appeal to the Appeal Board for re-assessment. Such appeal must be made within 7 days of the applicant being informed of the Authority's decision.
- 1.6. The grounds on which an applicant may apply for a re-assessment are not restricted to matters that were before the Authority when it made the decision in question. Any relevant matter of fact or law may be relied on to show that a different decision is appropriate in all the circumstances. The Appeal Board may set aside, confirm or vary that decision.

Index of defined Expressions

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

<i>Defined term</i>	<i>Where term is defined (references are to Rules in this Manual unless other specified)</i>
Amateur Rider	98
Appeal Board	99
Approved Person	41
Arrears	99
Authorised Agent	99
the Authority	99
the Authority's Office	99
Disciplinary Action	99
Disciplinary Panel	99
Disciplinary Penalty	99
Disqualified Person	99
the Forfeit List	99
General Instructions	99
Horserace	1
Inside Information	29
Jockey	97
Jump Race	14
National Hunt Flat Race	99
Offender	46
Overseas Rider	98
Person	99
Professional Rider	98
Prohibited Substance	99
Racecourse Managing Executive	99
The Racing Calendar	99
Recognised Racing Authority	99
Rider	96
these Rules	99
Trainer	99
Veterinary Officer	99

Veterinary Surgeon	99
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