

STEWARDS' BOOKLET

**An explanatory guide to assist
the effective enforcement of the
Rules of Racing and Instructions
by Racecourse Stewards**

THE BARBADOS TURF CLUB

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1. INTRODUCTION

This Booklet was written by Order of the Board of Directors, and contains information on the main Rules which affect you as a Steward and the various charts which should be referred to at all times when deciding on the appropriate course of action.

Whenever consideration is given to either calling for or holding a Stewards' Enquiry, you should turn to that part of the Booklet which is applicable. The charts have been designed to assist in the consistency of decision taking and MUST be used in the presented chronological order. CONSISTENCY is extremely important when coming to your decision. Your Recording Secretary should be in a position to provide information on fines and other penalties and in certain cases, past decisions. All Stipendiary Stewards ought to be familiar with precedents, and further should liaise with the Recording Secretary to obtain all necessary minutes so as to keep abreast with current decisions. This information will play an integral part in your deliberations, both prior to reaching your decision and particularly when deciding what penalty to impose if the person concerned is found to be in breach. You are also asked to use the Aide Memoire whenever possible when communicating your decision.

This Booklet will be revised and re-distributed as the need arises.

Finally, the Booklet should not be seen as either a replacement for, or an interpretation of, the Rules of Racing Regulations and Instructions of the Barbados Turf Club. It does, however, seek to clarify and provide easy reference to a number of crucial areas which may arise during the conduct of your duties as Racecourse Stewards (herein 'Stewards').

1A. DEFINITIONS

1. Words herein shall where appropriate have the same meanings as defined in the Rules of Racing of the Barbados Turf Club as amended from time to time.
2. “Rider” and “Jockey” shall have the same meaning.

2. STEWARDS' POWERS

Rules 6, 8 and 9 of the Rules of Racing set out certain of the powers that the Stewards can employ to ensure that racing is conducted properly. They form the foundation for all decisions that Stewards are likely to take during race meetings. The main points of these powers are summarized below.

Stewards are able to:

- | | |
|--|------------------|
| - make/vary arrangements for conduct of the meeting | Rule 6 (a) |
| - postpone/abandon a day's racing | Rule 6 (b) |
| - take control over all places under Club's control and to enquire into and adjudicate on the conduct of all persons on racecourse etc | Rule 6 (c) |
| - eject persons | Rule 6 (d) |
| - punish persons under their control | Rule 6 (e) |
| - determine all questions | Rule 6 (f) |
| - report conduct of all persons to Stewards of the Club | Rule 6 (f) |
| - accept, cancel, refuse to accept entries, nominations or subscriptions | Rule 6 (g) |
| - refer questions of acceptance, cancellation of entries etc to the Stewards of the Club | Rule 6 (g) |
| - call for proof that horse not disqualified, and to prevent horse from running | Rule 6 (h) |
| - search or order examination of horse, trainer, jockey, groom, item of tackle or any other equipment | Rule 6 (i) |
| - cause test to be made for Prohibited Substance | Rule 6 (j) |
| - cause endoscopic examination of bleeder | Rule 6 (k) |
| - prohibit rider from using a particular whip | Rule 6 (l) |
| - determine result from photograph | Rule 6 (m) |
| - order the withdrawal of any horse on veterinary advice | Rule 6 (n) |
| - order enquiry to be called | Rule 6 (o) |
| - prevent from running any horse which is not qualified | Rule 6 (p) |
| - hold enquiry into any accident | Rule 6 (q) |
| - punish connections for the inconsistent form of horse | Rule 6 (r) |
| - suspend horse from running | Rule 6 (s) |
| - prohibit use of unsuitable, unsafe equipment | Rule 6 (t) |
| - order or to grant exemption from testing of trainer, jockey, exercise lad, amateur rider, groom attendants for Notifiable medications or banned substances | Rule 6 (u) |
| - cancel a parade or riding in front of stands | Rule 6 (u) (iii) |
| - start race in front of starting post | Rule 6 (v) |

- declare a race void	Rule 6 (w)
- withdraw horse due to unacceptable delay to start	Rule 6 (x)
- exclude disqualified or other persons from places under their control	Rule 8
- suspend horse for 30 days if trainer or jockey found in breach of preventing horse from obtaining best possible placing	Rule 9
- refer to Stewards of the Club possible breaches of Rules	Rule 9
- refer to Stewards of the Club breaches where in their opinion punishment in excess of the maximum fine ought to be imposed	Rule 9
- refer to Stewards of Club misconduct of any person	Rule 9
- refer to Stewards of Club breaches by jockeys where suspension for longer than 30 days (20 races) is required	Rule 9

NOTE: Matters relating to betting disputes shall not be entertained by the Stewards.

3. CONFLICTS OF INTEREST

In the exercise of their powers Stewards are expected to act in a totally impartial and fair manner. However, a number of situations may arise where a conflict of interest could be perceived. This can occur when Stewards act at a meeting or during a particular race or enquiry. The following are guidelines as to what may constitute conflict and when a Steward should not act.

When a Steward should not act on a day

This applies when a Steward has:

- a horse which he trains;
- a ride in a race;
- a horse running in a selling race;
- a commitment to entertain personally a sponsor;
- been involved in off-course betting transactions relating to the meeting.

In connection with the above no two members of an immediate family should Steward together on the same day.

In addition when a Steward is acting in any race he should not:

- be involved in any betting transactions on-or-off course;

- participate in any auction following the running of a selling race.

A Steward should not act for a particular race when the Steward owns or part owns a horse running in the race.

Note: If Stewards are not acting during the meeting or for a race then they should not enter the Stewards' Room during an enquiry or the hearing of an objection. Alternate Stewards may remain but shall not be heard.

When a Steward should not sit on an enquiry

All acting Stewards should declare any conflicts of interest to the other Stewards either prior to or on arrival at the racecourse, but not later than their meeting with the officials prior to the start of races.

An acting Steward must be satisfied, before he involves himself in any pre-enquiry deliberations or sits on an enquiry, that he can discharge his stewarding duties entirely objectively and impartially (i.e. there is no conflict of interest). If he is not so satisfied he should stand down. A Steward should not be involved in the decision on whether to hold an enquiry or sit on an enquiry if he, his spouse, parents, sons or daughters, have an interest in any of the horses placed, or likely to be placed, or any other type of conflicting interest in the outcome of the enquiry.

If any acting Steward considers a conflict of interest may be perceived by anyone concerned with the enquiry or its outcome but the Steward is nonetheless satisfied that he is able to act, he shall provide the Chairman of the Panel with the details. The Chairman shall decide whether or not this information should be declared at the outset of the enquiry, and, if so, the person(s) before the Stewards will be given the opportunity of objecting to the particular Steward sitting on the enquiry. The procedure will be known as the “**waiver.**”

8 If it is decided to use the “waiver,” the Chairman should inform all the
9 persons concerned with the enquiry that, for example:

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1 “Mr. X, who it is intended will sit on this enquiry, has a
2 son/daughter/spouse who trains a horse in the race.”

3
4 and invite objections.

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6 If the particular Steward is objected to he must stand down from that
7 particular enquiry and his place taken where possible by the alternate
8 Steward. In such circumstances he should not remain in the Stewards’
9 room during the course of the enquiry.

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1 **Offering the “waiver” should serve to overcome the problem of a**
2 **conflict of interest from arising at an enquiry.**
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4. ENQUIRY PROCEDURE FOR DEALING WITH HORSES WHICH DO NOT APPEAR TO HAVE OBTAINED THE BEST POSSIBLE PLACING – RULES 102 & 103

In order to maintain confidence in the integrity of racing it is particularly important either that questions are asked of trainers concerning the performance of a horse or that an enquiry under Rules 102 and 103 is held when a horse does not appear to have been run on its merits. Stewards should not be deterred from holding an enquiry because they consider it unlikely that they will be able to prove a breach of these Rules. These enquiries are not time sensitive but the Stewards should ensure the rider and trainer are warned that they will be required to attend.

When to hold an enquiry

The Rule does not allow exceptions for horses which do not obtain the best possible placing and, therefore, the Stewards should always initiate an enquiry on the day or ask questions rather than adopt a policy of “wait and see”. In helping to decide whether or not to hold an enquiry the panel should view the video recording of the race. The Stewards should then ask the following questions:

- Was the horse asked for sufficient effort?

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

- Was it ridden to obtain the best possible placing?

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

And having decided to hold enquiry

A series of questions will be asked of the rider and trainer to establish the reasons for the way the horse was ridden, and as to whether adequate instructions were given for the purposes of Rule 103.

Has a breach of the rules been committed

Prior to determining whether or not the rider and/or trainer are in breach of rules 102/103 the Stewards should be mindful of certain relevant matters, viz:

- **Was the horse asked for sufficient effort?**
- **Was it ridden to obtain the best possible placing?**

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

If the answer to either question remains NO, the rider is in breach of Rule 102(b) or 103.

With regard to the trainer, he will be in breach of Rule 103 if there is evidence that he either gave inadequate instructions or gave instructions to the rider which if obeyed could or would prevent the horse from winning a race or obtaining the best possible placing.

When in breach

If you find that a breach has been committed by the rider, it is necessary to categorise the offence which will assist you in arriving at the appropriate penalty. The Stewards will then ask the following questions (The Categorisation Chart on page 9 must be followed):

- 1) **Did the horse not achieve its best possible placing because of the jockey's negligence e.g. failing to ride out approaching finish by dropping hands?**

IF NOT

- 2) **Did the horse not achieve its best possible placing because of the jockey's intention of concealing the ability of the horse or of affecting the result of the race? (i.e. doing the opposite of what you would expect).**

IF NOT

It must be as a result of the jockey's failure to take all reasonable and permissible measures throughout the race to ensure his horse is given a full opportunity to win or to achieve the best possible placing.

Having decided which Rule the rider is in breach of and the category of offence, the Stewards will determine the penalty for rider and if appropriate, the trainer. Previous offences are to be taken into account.

When not in breach

If you decide that no breach has been committed or you are unable to conclude the enquiry the following options are open to you and must be referred to in your report of the enquiry:

- Noting – all explanations.
- Referral for viewing the horse's previous runs.
 - Horse wins without having been previously placed in the first four.
 - A marked improvement in performance.
 - Concerns are expressed about performance last time out.
- Adjourned enquiry – vital witness is not present.

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Chart failure.....

5. INTERFERENCE IN RACES [Inquiries under Rules 114(d) and 117(b)]:

Interference procedure to be followed after hearing the evidence

After the jockeys have left the room, the Stewards will ask of themselves the following questions:

- **Was there interference?**

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

- **Who caused it?**

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

Having established who caused it the Chairman will ask the Panel the questions below which are contained on the left hand side under 'Category and Definition' so that agreement can be reached on the category of interference.

He should start at the top category and work downwards bearing in mind that if the Panel has a reasonable element of doubt he will move down to the next category.

The Panel should only refer to the 'Examples' on the right hand side **after** agreement has been reached on the category of interference.

CATEGORY AND DEFINITION	EXAMPLES (These are the more common examples of interference but are not exhaustive)
<p>1. For Foul there must be “Malice Aforethought” i.e. the Rider must intend to interfere with the running of another horse or rider, and not necessarily to obtain a better placing of his own horse</p>	
<p>WAS INTERFERENCE DUE TO FOUL RIDING?</p> <p>A rider is guilty of Foul Riding if he intentionally, purposely, wilfully, or with malice interferes with any horse or ride – Rule 104 (f) (iv).</p> <p><u>Action to be taken by Stewards</u></p> <p>Horse must be disqualified and placed last.</p>	<p>a) Riding across to prevent a horse from going “up the inner” especially in the straight run.</p> <p>b) Attempting to force a horse off the track.</p> <p>c) Deliberately striking another horse or rider thereby causing interference i.e. affecting their progress.</p>
<p>2. For reckless the consequences of the interference must be serious i.e. worse than bad cases of irresponsible or careless riding</p>	
<p>WAS IT RECKLESS RIDING?</p> <p>A rider is guilty of Reckless Riding if as a result of showing no regard to the consequences of his actions he causes serious interference to any horse or rider, Rule 104 (f)(iii).</p> <p><u>Action to be taken by Stewards</u></p> <p>Horse must be disqualified and placed last.</p>	<p>a) Rider deliberately barges his way out between two horses.</p> <p>b) Rider persistently attempts to get past any horse when there is insufficient room.</p> <p>c) Rider fails for a sustained period of time to take corrective action.</p>

3. For irresponsible the ride must make a positive manoeuvre (failure to take corrective action or allowing the horse to drift is not a positive manoeuvre)

WAS IT IRRESPONSIBLE RIDING?

A rider is guilty of **Irresponsible Riding** when interference is caused by some action or manoeuvre of the rider and where it ought to have been obvious to the rider that interference would be the result (regardless of the absence of any physical danger to the jockey or the horse). Rule 104 (f)(ii)

Action to be taken by Stewards

Stewards to determine whether the Irresponsible Riding is of a minor nature or not.

- a) Pushing through and thereby creating a gap or widening an existing gap which never looked like being big enough.
- b) Manoeuvring/changing direction and causing another rider to be moved off his intended line or to take evasive action.
- c) At the start moving across to the rails causing interference.

Is the irresponsible riding of a minor nature?

Having decided that the rider is guilty of Irresponsible Riding, it must then be established if the interference was of a **minor nature** i.e. it is unlikely to have seriously jeopardized **the safety** of any other horse or rider. To decide this the following questions will be asked.

- i) Was the nature of the incident such as to place in serious jeopardy **the safety** of any horse or rider?
- ii) Was the progress of any horse substantially impeded?
- iii) Was it necessary for any rider to take significant evasive action?
- iv) Was the interference sustained?

If the answer to all these questions is NO then the interference may be considered to be of a minor nature and if you are satisfied that the sufferer would not have obtained a better placing in the race you should order that the placings remain unaltered.

If the answer to any one of these questions is YES the interference may constitute Irresponsible Riding and if you determine that it is Irresponsible Riding the Interferer shall either (i) be placed behind the sufferer or (ii) be placed last.
(See Interference Chart Page 19)

4. For careless, the rider fails to take corrective action to prevent interference from occurring i.e. the rider is negative

WAS IT CARELESS RIDING?

A rider is guilty of **Careless Riding** if he fails to take reasonable steps to avoid causing interference (i.e. an omission) or causes interference by misjudgment, or inattention. [Rule 104 (f) (i)].

Horse disqualified and placed behind sufferer UNLESS sufferer would not have obtained a better placing than 4th (or lower for any placing for which there is prize money).

Action to be taken by Stewards

Horse disqualified and placed behind sufferer UNLESS sufferer would not have obtained a better placing than 4th (or lower for any placing for which there is prize money) in which case you don't disqualify.

a) Horse drifts into another without rider straightening it up, either by switching his whip, or, if that is insufficient, by using his reins.

b) Horse hangs into (or away from) the whip but the rider does not take sufficient action to straighten it up.

c) Rider hangs in on the bend without rider taking any action

5. Accidental

To determine whether the interference can be regarded as Accidental, the following questions must be asked:

- i) Was the Rider taking reasonable steps to prevent the interference from occurring?
- ii) Was the interference due to circumstances beyond the Rider's control.

If the answer to Either question is YES the interference may be regarded as Accidental. However if the Interference is classified as Accidental the Interferer can still be disqualified if the Stewards feel that the interference resulted in the sufferer not obtaining a better placing (i.e. 4th or better)

If the answer to Both questions is NO a riding offence has been committed. Go back to category 1 and work your way down to category 4 in order to classify the interference.

Determining the result following interference which has been categorised as (i) careless riding or (ii) irresponsible riding of a minor nature.

Note: This section is not to be used where Interference has been categorised as more serious viz Foul, Reckless or Irresponsible as in those circumstances horse is mandatorily disqualified.

The Chairman should ask the panel:

Did The Interference Cause the Sufferer to be denied a better placing in the race?

In arriving at their decision mindful of the **Guiding Principles** see later, the Chairman should ask the following questions:

1. **Where did the incident take place in relation to the winning post?**
2. **How were the horses involved in the interference going at the time of the incident?**
3. **If the sufferer had an uninterrupted run to the line might it have finished in front of any other horses in the race that beat it?**

If NO – order placings to remain unaltered

If YES i.e. there is some doubt – proceed to question four

4. **How easily did the interferer beat the sufferer? (if not separated by other placings).**

HAVING CONSIDERED THE ANSWERS TO THE ABOVE QUESTIONS, IF THE STEWARDS ARE SATISFIED THAT THE INTERFERENCE PREVENTED THE SUFFERER FROM OBTAINING A BETTER PLACING IN THE RACE (i.e. from placing 4th or better than 4th or not gain prize money if prize money is awarded for placings lower than 4th) THE PLACINGS MUST BE ALTERED. IF THE STEWARDS ARE NOT SO SATISFIED THE placings MUST REMAIN UNALTERED.

To conclude the inquiry the Chairman should inform the Riders of their decision (whenever possible completing the aide memoire and reading it out.

GUIDING PRINCIPLES

- a) Irresponsible (Minor), Careless or Accidental – if the Stewards are satisfied that the interference prevented the sufferer from obtaining a better placing in the race (namely placing 4th or better than 4th etc., as the case may be see Rule 104 (iii)(bb).
- b) To be “satisfied” Stewards should come to a decision based on the balance of probabilities.
- c) The benefit of doubt should go to the horse which finished in front.
- d) Stewards should have in mind that interference is likely to have impeded the sufferer in some degree and, therefore, a reversal of placings will often follow where there is only a short head between the horses.
- e) Stewards must take into account how the horses involved were going at the time of the incident.
- f) Stewards must make allowance for the momentum and ground lost by the sufferer imagining that it had an uninterrupted run to the line.
- g) Stewards must **NOT** make any allowance for any effect on the horse causing the interference.
- h) Stewards must take into account the ease with which the interferer beat the sufferer Note: this principle is only relevant where the interferer and the sufferer are not separated by other placings.
- i) The further away from the winning post that the incident occurs, the less likely it is that the result should be changed. However where the interference takes place closer to the winning pole Stewards must consider whether the momentum of the sufferer, (interference being absent) would have placed it higher.
- j) If a horse is carried off its intended line (intimidation) it will probably not have lost as much ground as it might appear (see note (v) below).**

NOTES:

(i) You merely have to conclude that something was more probable than not. **Stewards do not have to be certain in order to be satisfied.**

(ii) If the sufferer loses one length and the interferer and other horses which beat it, beat it by three lengths you should ORDER THE PLACINGS TO REMAIN UNALTERED.

(iii) If the sufferer loses two lengths and the interferer wins by one length, you must take into account the ease with which the interferer eventually beat the sufferer rather than merely making a crude mathematical calculation in lengths or part thereof (assuming no other horses involved, or are not separated by other placings).

(iv) If the incident occurred at the two furlong pole there will be more room for doubt because the distance lost should count for less than the same ground lost close to home.

(v) Mathematical calculations determine that if a horse is carried six horses' widths (6 yards) off its intended line over a distance of a furlong, it will only have traveled 3 inches further; over a distance of a quarter of a furlong, it will have traveled an extra 11.7 inches, and over 20 yards it will have traveled an extra 32 inches. However, these calculations do not take into account the sufferer's loss of momentum.

(vi) Stewards should be aware of the following approximate measurements:-

short head	=	5"
head	=	16"
neck	=	46"
1/2 length	=	72"
3/4 length	=	92"
1 length	=	112"

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Interference option chart.....

Guide to penalties for riding offences

The final matter which needs to be considered is the question of appropriate penalty. The following penalties are those recommended by the Stewards of the Club. The following are “punishable riding breaches” for which the rider is guilty of offence under Rule 104 (c)

Nature and Cause of Interference	Recommended Penalty for Jockey						
	1 st Off.	2 nd Off.	3 rd Off.	4 th Off.	5 th Off.	6 th Off.	7 th Off.
Foul Riding	\$500-\$1000 or 8 – 16 races	\$750-\$1000 or 12-16 races	\$1000 or 16 races	Refer	Refer	Refer	Refer
Reckless Riding	\$250 or 4 races	\$500 or 8 races	\$750 or 12 races	\$1000 or 16 races	Refer	Refer	Refer
Irresponsible Riding	\$175 or 3 races	\$250 or 4 races	\$500 or 8 races	\$750 or 12 races	\$1000 or 16 races	Refer	Refer
Careless Riding	Caution or \$100 or 2 races	\$175 or 3 races	\$250 or 4 races	\$500 or 8 races	\$750 or 12 races	\$1000 or 16 races	Refer
Misuse of the Whip	Caution or \$100 or 2 races	\$175 or 3 races	\$250 or 4 races	\$500 or 8 races	\$750 or 12 races	\$1000 or 16 races	Refer
Improper Riding	Caution or \$100 or 2 races	\$175 or 3 races	\$250 or 4 races	\$500 or 8 races	\$750 or 12 races	\$1000 or 16 races	Refer

NOTE 1: For Careless Riding, Misuse of Whip or Improper Riding a caution can be issued for a first offence.

NOTE 2: For Apprentice Jockeys:

3 lb. claimer 90% of penalty for full jockeys

5 lb. claimer 80% of penalty for full jockeys

7 lb. claimer 70 % of penalty for full jockeys

NOTES:

- 1) If in the opinion of the Stewards an offence warrants a suspension of more than 16 races or a fine of more than \$1,000, the matter should always be referred to the Stewards of the Club.
- 2) Offences involving interference are to be treated separately to those concerning Misuse of the Whip.
- 3) A rolling twelve-month period will apply for all suspensions.
- 4) A rider should be referred to the Stewards of the Club on the second occasion during the previous twelve months that he is found guilty of Reckless Riding or Foul Riding.
- 5) A rider should be referred to the Stewards of the Club if he is found to have committed a punishable riding breach in the use of his whip in any of the races listed below in a manner which, in the Stewards' opinion, warrants a suspension.
 - (a) The Gold Cup
 - (b) The Derby and all Classics
 - (c) Races with a guaranteed value of \$50,000 or over

In these circumstances the **Stewards of the Club** should consider imposing a minimum suspension of 4 races or a fine of \$250 for the offence.

However, for minor breaches this figure may be reduced marginally. This suspension will not count towards the total number of races suspended during the current rolling twelve-month period.

- 6) If a rider is found to have committed a punishable riding breach involving interference or misuse of the whip and he had already been suspended from riding for a total of 24 races or more for interference or misuse of the whip within the previous twelve months he should be referred to the Stewards of the Club.
- 7) After a rider has appeared before the Stewards of the Club following a referral under paragraphs 4 or 6 above and has

been suspended, all offences prior to and including the offence for which the rider was referred are not to be taken into consideration.

- 8) Suspension imposed by the Stewards of the Club as a result of an appeal or a case instigated by the Stewards of the Club are to be included in the number of races suspended during the previous twelve months. However, if the rider has already been suspended for 24 races or more the Stewards of the Club will take this into account when imposing a penalty after which all previous offences will not be taken into consideration.

The Stewards of the Club should consider imposing a minimum suspension of 8 races for the accumulation of races suspended plus a period of suspension for the offence.

6. MISUSE OF THE WHIP RULE 104 (v)

The other area which may give rise to a riding offence is that concerning Misuse of the Whip (whether or not it gives rise to interference).

The Stewards of the Club remain totally committed to preventing any abuse of horses through Misuse of the Whip and ask the Racecourse Stewards to consider holding an enquiry into any case where a rider has used his whip in such a way as to cause them concern.

Veterinary Officers will be under a duty to inspect horses after a race and if it is reported that a horse is wealed a Stewards' Enquiry must be held. However, the fact that a horse has not been marked should not dissuade you from holding an enquiry and, where appropriate, finding that excessive force has been used.

The effectiveness of various measures used to control use of the whip is kept under regular review and surveillance by the Stewards of the Club. Racecourse Stewards are, therefore, expected to maximize the deterrent effect of the Rules in this regard by enforcing them in a strict manner and applying the attached applicable flow chart.

If any rider commits a breach of the following instruction in the Gold Cup, the Derby, or any Classic or any high value race (over \$50,000) which warrants a suspension he should be referred to the Stewards of the Club for penalty.

Instruction of the Stewards of the club concerning use of the Whip

Use of the Whip

The Stewards of the Club will not tolerate abuse of the horse and consider its welfare, and the safety of the rider, to be paramount. The whip should be used for safety, correction and encouragement only and they, therefore, advise all riders to consider the following good ways of using the whip which are not exhaustive:

- a) Showing the horse the whip and giving it time to respond before hitting it;
- b) Using the whip in the backhand position for a reminder;
- c) Having used the whip, giving the horse a chance to respond before using it again;

- d) Keeping both hands on the reins when using the whip down the shoulder in the backhand position;
- e) Using the whip in rhythm with the horse's stride and close to its side;
- f) Swinging the whip to keep a horse running straight.

The Stewards of the Club have asked Racecourse Stewards to consider holding an enquiry into any case where a rider has used his whip in such a way as to cause them concern and publish the following examples of uses of the whip which may be regarded as improper riding:

1. Hitting horses:

- to the extent of causing injury;
- with the whip arm above shoulder height;
- rapidly without regard to their stride i.e. twice or more in one stride;
- with excessive force;
- without giving the horse time to respond.

2. Hitting horses which are:

- showing no response;
- out of contention;
- clearly winning;
- past the winning post.

3. Hitting horses in any place except:

- on the quarters with the whip in either the backhand or forehand position;
- down the shoulder with the whip in the backhand position;
- unless exceptional circumstances prevail.

4. Hitting horses:

- with excessive frequency.

When examining cases of excessive frequency, the Racecourse Stewards will consider all the relevant factors such as:

- a) whether the number of hits was reasonable and necessary over the distance they were given, taking into account the horse's experience;
- b) whether the horse was continuing to respond and;
- c) the degree of force that was used; the more times a horse has been hit the stricter will be the view taken over the degree of force which is reasonable.

9
0 It is emphasized that the use of the whip may be judged to be proper or
1 improper in particular circumstances which have not been included above.

2
3 Horses will be subject to an inspection by a Veterinary Officer and he will
4 report his findings to the Racecourse Stewards; therefore, trainers may be
5 required to remove or adjust rugs or sheets.

6
7 It is further emphasized that under the Rules of Racing trainers have a
8 responsibility for giving instructions to their riders, which should include
9 instructions on the use of the whip, especially with horses which may weal
0 and when employing apprentice jockeys. Owners who choose to give their
1 riding instructions must accept a similar responsibility. Failure to give
2 adequate instructions or giving instructions which if obeyed could or would
3 lead to a violation of this instruction will result in disciplinary action being
4 taken against owners and trainers.

5
6 The Stewards of the Club warn all riders that Racecourse Stewards have
7 been asked to exercise fully their powers under Rules 6 and 104 of the
8 Rules of Racing in all cases of misuse of the whip, which the Stewards of
9 the Club regard as improper riding.

0
1 Further they warn owners, trainers and riders that severe disciplinary
2 action will be taken against any person who is found to be in breach of this
3 instruction resulting in serious injury to any horse.

4 **Misuse of the Whip**

5
6 Having reviewed the race, if the Stewards are concerned **about the way a**
7 **rider has used his whip**, the Chairman should firstly establish into which
8 category(s) of Misuse of the Whip it might fall. If it appears that the rider's
9 use of the whip falls into Paragraphs 1 to 3 the Instruction of the Stewards
0 of the Club concerning use of the whip, an enquiry must be held.
1 However, if it concerns EXCESSIVE FREQUENCY you should proceed
2 as follows:
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5
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EXCESSIVE FREQUENCY

If it is considered that a rider may be in breach of "Excessive Frequency" (exceeding the proper amount) the following questions should be asked in order to decide whether an enquiry should be held or not:

BEARING IN MIND THE NUMBER OF OCCASIONS THAT THE HORSE HAS BEEN HIT:

1. Was the number of hits reasonable and necessary over the distance they were given, taking into account the horse's experience?
2. Was it continuing to respond?
3. Was the degree of force acceptable: the more times a horse has been hit the stricter will be the view taken over the degree of force which is reasonable

IF THE ANSWER TO **ANY** OF THESE QUESTIONS IS **NO** AN ENQUIRY MUST BE HELD

Hits in excess of the following should be inquired into with a view to taking action:-

- i) during final furlong – 8
- ii) during final two furlongs – 12
- iii) during entire race – 14

However hits in excess of these guidelines do not automatically constitute a punishable riding breach.

Each case to be taken on its own merits

If you have held an enquiry and heard the evidence, which may include a report from the Veterinary Officer, the Chairman should again ask the above questions of his Stewards because the answers will assist you in deciding if a breach has been committed.

Horses injured by the Whip

Veterinary Officers will submit a report to the Stewards:

- a) if the whip has drawn blood;
- b) if the whip has produced any weal;
- c) if a horse is marked in the wrong place. Such horses are not injured, but the marks confirm where the horse was hit.

5 His report should include a **photograph** of the injury but if this is not
6 possible, he will produce a sketch and, if necessary, a witness to
7 corroborate the injury.

8 A Stewards' Enquiry must be convened, the rider and trainer asked to give
9 evidence and the video recording of the race should be examined. Whilst
0 deliberating, the sequence of questions given on the flowchart (following
1 page) should be addressed, except for those horses referred to in
2 paragraph (c) above. If a horse is marked in the wrong place and the
3 video recording of the race confirms that it was caused by the whip, the
4 rider should be penalised.

5
6 For the time being the penalties recommended on the said flowchart have
7 not been completed, and until same has been so completed, the
8 Racecourse Stewards shall in their discretion determine each case on its
9 merits.
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Chart - Horses injured by whip.....

7. RECOMMENDED PENALTIES FOR RACECOURSE STEWARDS FOR COMMON OFFENCES

1. A list of standard offences is shown in the chart below.

Where the Stewards of the Club have not recommended the penalties for such breaches, the Racecourse Stewards shall determine a reasonable penalty.

Serious breaches shall result in a greater penalty.

2. When determining whether an offence is a second or further offence a rolling twelve month period will apply unless otherwise stated, the relevant dates being the dates on which a finding of a breach was first made.
3. In some cases, there are recommended penalties for further offences within twelve months. When a second offence of the same description is committed within twelve months and no recommendation is made, the fine/suspension for the second offence should be at least double that of a first offence.
4. Amateur riders should be treated as if full jockeys, unless they have ridden less than 10 winners in which case they should be treated as if apprentice/conditional jockeys.

SERIAL NO.	OFFENCE	RULE OR APPENDIX IN RULES BOOK OR INSTRUCTION	SCALE OR PENALTY
1.	Non-runner; failure to notify registry office and racecourse stewards	Instruction Rules	1 st offence - \$ draw trainer's attention 2 nd offence - \$ 3 rd offence - refer
2.	(a) horse subject to identification check (i) passport not produced (ii) cannot be identified from markings (iii) vaccination section of passport not completed correctly (b) horse subject to vaccination/sampling unit check but passport not available	Rule Rule Rule Rule Instruction Para	\$ \$ including non-runner penalty. Horse must not run. \$ horse must not run. Refer for investigation. No penalty. As it can be identified allow horse to run. For penalty see serial 4(a) 1 st offence - \$ 2 nd offence - \$ 3 rd offence - \$ Ask trainer to sign a declaration requiring him to forward the passport to the secretary within 3 working days.
3.	Horse never vaccinated or vaccinated within previous seven days	Rules	\$ including non-runner penalty. Horse must not run.
4.	(a) vaccinations section of passport not completed correctly other than in serials ? or ? (b) alteration to vaccination record other than serial ?	Rule Rule	1 st offence - \$ 2 nd offence - \$ 3 rd offence - \$ 4 th offence - \$ 1 st offence - \$ 2 nd offence - \$ 3 rd offence - \$
5.	Re-check reveals vaccination record still out of order	Rules	\$
6.	Ringworm and other contagious diseases	Instruction	1) paragraph - \$ 2) paragraph - \$
7.	Horse not qualified to run	Rule	Penalty in rule

SERIAL NO	OFFENCE	RULE OR APPENDIX IN RULES BOOK OR INSTRUCTION	SCALE OR PENALTY
8.	Identity card offence	Rule	1 st offence - \$ subsequently - \$
9.	Deleted		
10.	Double declarations (a) circumstances not exempted by rule ? (b) runs at non-preferred meeting contrary to clause ? rule ?	Rule	1 st offence - \$ 2 nd offence - \$ 3 rd offence - refer 1 st offence – not less than \$ including non-runner penalty 2 nd offence - refer
11.	Failure to declare a rider	Rule	1 st offence - \$ 2 nd offence - \$ 3 rd offence - \$ 4 th offence - \$
12.	Unavailable rider declared to ride	Instruction	1 st offence - \$ 2 nd offence - \$
13.	Declared rider not present on instructions of trainer	Rule	1 st offence - \$ 2 nd offence - \$ 3 rd offence - \$
14.	Incorrect weight or colours in racecard not declared	Rule	Not less than \$
15.	Failure to identify incorrect riding allowance	Rule	Not less than \$
16.	(a) undeclared tongue strap worn prior to or in a race (b) trainer fails to report that horse lost tongue strap during race (c) declared tongue strap not fitted in error	Rule Instruction Rule	\$ \$ \$
17.	Number cloth not carried	Rule	\$

SERIAL NO	OFFENCE	RULE OR APPENDIX IN RULES BOOK OR INSTRUCTION	SCALE OR PENALTY
18.	Late arrival of apprentice or conditional	Instruction	\$ & upwards (impose on trainer)
19.	Late arrival or failure of rider to weigh out	Rule Instruction	\$ & upwards
20.	Failure of rider to weigh out because declared to ride two horses in same race	Rule	\$
21.	Late arrival of rider in parade ring	Rule	1st offence - \$ 2 nd offence - \$ 3 rd offence - \$
22.	Refusal to ride before weighing out	Rule	\$ - \$
23.	Failure to ride after weighing out	Rule	\$ - \$ or refer
24.	Body protector offence	Rule Instruction	1st offence - \$ 2 nd offence - \$ 3 rd offence - \$
25.	Skull cap offence	Rule Instruction	1st offence - \$ 2 nd offence - \$ 3 rd offence - \$
26.	Incorrect colours	Rule	\$ - \$
27.	Equipment or clothing (including body protector) changes after weighing out	Instruction	Accidental infringement \$ Deliberate infringement \$ and upwards
28.	Saddling, not in appointed place	Rule	\$
29.	Saddling errors	Rule Instruction	\$ and upwards. Penalise trainer if stewards are satisfied fault was his alone.
30.	Horse late in parade ring	Rule	1st offence - \$ 2 nd offence - \$ 3 rd offence - \$
31.	Oversize calkins	Rule	\$
32.	Oversize nailheads	Rule	\$
33.	Reins not correctly attached to bridle	Rule	1st offence – draw trainer's attention 2 nd offence - \$ 3 rd offence - \$
34.	Unruly behaviour of horse		1 st occasion – trainer informed that future similar behaviour may be reported to the disciplinary committee 2 nd occasion – refer
35.	Failure to ride past the stands	Rule	\$

SERIAL NO	OFFENCE	RULE OR APPENDIX IN RULES BOOK OR INSTRUCTION	SCALE OR PENALTY
36.	Late arrival at stewards room	Instruction	1 st offence - \$ 2 nd offence - \$ 3 rd offence - \$
37.	No trainer's representative	Instruction	1 st offence - \$ 2 nd offence - \$ 3 rd offence - \$
38.	Offences at the start (a) late arrival of rider at start (b) misconduct by rider (c) trainer reported (d) rider starts from wrong stall (e) Flip start – rider starts from wrong position	Rules Rule Instruction Instruction Para Instruction Para Instruction Para	1 st offence - \$ 2 nd offence - \$ 3 rd offence - \$ 1 st offence - \$ Apprentice - \$ 1 st occasion – trainer warned that future similar behaviour could be reported to the disciplinary committee 2 nd occasion – refer Accidental - \$ Deliberate – refer Accidental - \$ Deliberate - refer
39.	Race started early		Race NOT void. Submit report
40.	Failure to ride to their draw	Instruction	Rider – 1 st offence – 1 day 2 nd offence – 1 day 3 rd offence – 1 day 4 th offence – 1 day 5 th offence – refer Trainer – 1 st offence - \$ 2 nd offence - \$ 3 rd offence - \$ 4 th offence – refer
41.	Interference (includes reckless riding and related offences)	Rule	

SERIAL NO	OFFENCE	rule APPENDIX IN RULES BOOK OR INSTRUCTION	SCALE OR PENALTY
42.	Improper riding (a) misuse of the whip (b) hitting another rider deliberately with the whip	Rule Rule	1st offence – 2 nd offence -
43.	Failure to carry a whip	Rule	1st offence - \$ 2 nd offence - \$
44.	Whips not complying with specifications	Instruction Rule	1st offence - \$ and upwards 2 nd offence - \$ and upwards
45.	Whip more severe than provided for in the specifications	Instruction	Stewards will ban use of the whip and submit report to the executive stewards and warn rider to produce the whip at any enquiry ordered by the regulatory stewards
46.	Whip; instructions by owner/trainer Rider in breach (a) inadequate (b) unacceptable (c) failure to give any to apprentice/conditional Rider not in breach (d) failure to give any to apprentice/conditional	Instruction	\$ and upwards \$ and upwards 1 st offence - \$ and upwards 2 nd offence - \$ and upwards 1 st offence – draw trainer's attention 2 nd offence - \$ and upwards
47.	Whip; failure of trainer to inform rider that horse weals easily	Instruction	\$ and upwards
48.	Loss of blinkers, hood, visor, eyecover or eyeshield	Rule	Accidental (rider) – no penalty Deliberate to affect performance - refer
49.	Substitution of incorrectly declared garment	Rule	1st offence - \$ 2 nd offence - \$ 3 rd offence - \$

SERIAL NO	OFFENCE	RULE OR APPENDIX IN RULES BOOK OR INSTRUCTION	SCALE OR PENALTY
52. cont'd	<p>(iii) horse which has intentionally been restrained and not let down</p> <p>(iv) horse which has intentionally not been asked for sufficient effort</p> <p>(v) horse which appears capable of reaching a challenging position but which intentionally is never asked to do so</p> <p>If it is a second offence and the previous occurred between twelve and twenty four months, it should be dealt with by the stewards but the penalty should be generally higher than for a first offence</p>		<p>1st offence - Trainer - \$ - \$</p> <p>Horse suspended for 3 race meetings (only if both trainer/owner and rider found in breach of Rule)</p> <p>2nd offence – refer</p>
53.	<p>Rule (Failure to take reasonable and permissible measures</p> <p>(i) *using the racecourse as a training ground, i.e. schooling and/or conditioning (Instruction)</p> <p>(ii) Ill-judged race</p> <p>(iii) rider suffers interference and then fails to ride out to the winning post.</p>		<p>1st offence – rider – Trainer - \$ - \$</p> <p>Horse suspended for 2 race meetings (at least trainer must be in breach of Rule)</p> <p>2nd offence – Trainer - \$ - \$ Horse suspended for 2 race meetings</p> <p>3rd offence – refer both trainer and rider</p> <p>1st offence – or refer 2nd offence – or refer</p> <p>If horse is unplaced, treat rider as (vi). Otherwise see Serial</p>

SERIAL NO.	OFFENCE	RULE OR APPENDIX IN RULES BOOK OR INSTRUCTION	SCALE OR PENALTY
53. cont'd	<p>(iv) *rider fails to take all reasonable and permissible measures throughout the race. This includes a rider who is denied a clear run and then fails to ride out to the winning post.</p> <p>(v) rider asks for some effort during the race but fails to ride out with sufficient vigour in the latter stages. His explanation that something was amiss with his horse is not borne out by the veterinary and video evidence.</p> <p>(vi) rider demonstrates an acceptable degree of effort during the race until prematurely easing his horse, which would never have finished in the first four but is allowed to coast home with no assistance from the rider.</p> <p>* If it is a second offence and the previous offence occurred between twelve and twenty four months, it should be dealt with by the stewards but the penalty should be generally higher than for a first offence.</p>		<p>1st offence – rider – Trainer - \$ - \$ Horse suspended for 3 race meetings</p> <p>2nd offence – rider – Trainer - \$ - \$ Horse suspended for 3 race meetings</p> <p>1st offence 2nd offence</p> <p>1st offence 2nd offence 3rd offence 4th offence - refer</p>
54.	Incompetent riding		<p>1st occasion – warned to improve. Submit report to licensing department</p> <p>2nd occasion – refer to licensing department</p>
55.	Failure to dismount from a lame horse or continuing on an exhausted	Rule Instruction	Lame – Exhausted –
56.	Failure to weigh in Winner - * if wilful, refer	Rule	<p>Mandatory disqualification of horse</p> <p>1st offence – 2nd offence – refer 3rd offence – refer</p>

SERIAL NO.	OFFENCE	RULE OR APPENDIX IN RULES BOOK OR INSTRUCTION	SCALE OR PENALTY
56. cont'd	Second/Third Fourth (or any other placing for which there is prize money)		1 st offence – 2 nd offence – 3 rd offence – refer 1 st offence – 2 nd offence – 3 rd offence – refer
57.	Complete the course with other runners having pulled up	Instruction	1 st offence – draw attention to Instruction 2 nd offence - \$
58.	Procedures prior to weighing in	Instruction Para Para	(Discarding) Accidental - \$ Deliberate - \$ \$ and upwards
59.	Weighing in a 2lbs or more overweight	Rule	\$ and upwards
60.	Failure to draw the weight at which the rider weighed out by more than 1lb	Rule	Not acceptable explanation - \$ Mandatory disqualification of horse
61.	No good and reasonable grounds for objection	Rule	\$ Frivolous or vexatious – not exceeding \$
62.	Unsuitable ride for apprentice or conditional	Rule	Trainer warned of horse's unsuitability for apprentice/conditional
63.	Wilful disregard of interest of racegoers, etc.	Rule	\$ and upwards depending on nature of offence and importance of race.
64.	Failure to obey stewards	Rule	1 st offence - \$ and upwards 2 nd offence – refer
65.	Trainers or their representatives or riders not remaining within the vicinity of the weighing room for 5 minutes after the announcement of "weighed in"	Rule	\$ and upwards
66.	Improper conduct	Rule	\$ and upwards
67.	Misleading the stewards	Rule	\$ and upwards
68.	Giving deliberately misleading evidence at an enquiry	Rule	Stewards should not hold enquiries concerning evidence given to them at an enquiry. If they suspect

SERIAL NO	OFFENCE	RULE OR APPENDIX IN RULES BOOK OR INSTRUCTION	SCALE OR PENALTY
68. cont'd			there has been an earlier attempt deliberately to mislead them, they should formally express their concerns at the conclusion of the enquiry or refer the matter.
69.	<p>Misuse of badges – jockey/trainer who allows an unauthorised person to use his badge on a racecourse</p> <p>Person who uses a jockey's trainer's badge on the racecourse to which he is not entitled. Also agrees to be bound by the Rules.</p> <p>If he does not accept that he is bound by the Rules, he must be referred because only the disciplinary committee are empowered to deal with such persons. Furthermore, the only penalty that can be imposed is exclusion for all racecourses under Rule</p>	Rule	<p>1st offence - \$ Apprentice - \$ 2nd offence - \$ 3rd offence – refer</p> <p>1st offence - \$ 2nd offence - \$ 3rd offence – refer</p>
70.	<p>a) Failure of trainer to report reason for poor performance</p> <p>(b) Failure of rider to report reason for poor performance</p>	<p>Instruction</p> <p>Instruction</p>	<p>1st offence - \$ 2nd offence - \$</p> <p>1st offence - \$ 2nd offence –</p>
71.	Failure of rider to report that horse has gurgled	Instruction	1 st offence - \$ 2 nd offence – \$
72.	Breaching owners' sponsorship code of conduct	Order	1 st offence – draw attention to code and warn that liable to a fine on next occasion 2 nd offence - \$ 3 rd offence - \$
73.	Breaching jockeys' sponsorship code of conduct	Order	1 st offence – draw attention to code and warn that liable to a fine on next occasion 2 nd offence - \$ 3 rd offence - \$

SERIAL NO.	OFFENCE	RULE OR APPENDIX IN RULES BOOK OR INSTRUCTION	SCALE OF PENALTY
88.	Rider giving deliberately misleading evidence at an enquiry		
89.	Misleading an investigating officer/official		\$ - \$ OR disqualify/exclude
90.	Criminal offence with regard to racing		Period of disqualification/exclusion (5 years to 10 years)
91.	Banned substances:- Refusal of rider to provide a sample Positive sample Positive sample; deliberate		9 month suspension 1 st offence – up to 6 months suspension 2 nd offence – up to 2 years suspension 3 rd offence – up to 5 years suspension Disqualify horse \$ - \$ OR disqualify/exclude
92.	Stopping probable winner	Rule	3 month to 1 year suspension
93.	Running a “ringer”		Period disqualification (20 years)

8. OFFENCES CONSIDERED BY THE STEWARDS OF THE CLUB

The Stewards of the Club have the power at their discretion under Rule 10 of the Rules of racing to impose any one or more of the following penalties:-

- (i) fine – not exceeding \$10,000.00
- (ii) suspend or withdraw licence
- (iii) declare a person “disqualified”
- (iv) “exclude” somebody from any premises owned, licensed or controlled by the jockey club

The Stewards of the Club will usually use these powers within the bands set out below. For all other breaches the Stewards of the Club will, when appropriate, take into account the recommendations that it has issued to Racecourse Stewards.

OFFENCE	SCALE OF PENALTY
Positive sample; feed	Disqualify horse \$ - \$
Inadequate medication records	\$ - \$
Register new employee	\$ - \$
Failure to contact previous employer	\$ - \$
Incorrect payment of stable percentage money (administrative)	\$ - \$
Failure to lodge a transfer of engagement	\$ - \$
Horse not in care of licensed trainer (mistake)	\$ - \$
Unacceptable/no treatment records	\$ - \$
Skull cap offence	\$ - \$
Not authorised agent	\$ - \$
Wrong weight carried	Disqualify horse \$ - \$
Not qualified to be entered or run	Disqualify horse \$ - \$
Notification of overseas performances	\$ - \$
Failure to correct and return horses in training return	\$ - \$
Participation at unrecognised race meeting	Period of disqualification (up to 1 year)
Failure to co-operate with investigating officer	\$ - \$
Failure to check identity of horse	\$ - \$
Breach of undertaking by licensed person, i.e. terms and conditions of employment	\$ - \$

OFFENCE	SCALE OF PENALTY
Provide inaccurate information	\$
Fourth vaccination offence	\$
Breach of ICOP by racecourse executive	\$ - \$
Breach of Instruction by rider (5 th offence)	
Associating with disqualified person	\$ - \$
Not honour claim within 12 days	\$ - \$
Dishonour claim	Period of disqualification or exclusion (1 to 5 years)
Positive sample; not establish source	Disqualify horse \$ - \$
Failure by racecourse to lodge prize money with stakeholders	\$ - \$
Forged signature	\$ - \$ or suspension of licence
Prejudicial to the integrity of horseracing	\$ - \$ or declare disqualified
Horse not in care of licensed trainer (deliberate)	\$ - \$