

SCHEDULES

Schedule 1 - Reciprocal clearance agreement when riding overseas

1.1 The reciprocal clearance agreement means the agreement between certain Racing Authorities which includes provision dispensing with the need for a rider to produce evidence of clearance to ride by his Racing Authority each time he proposes to ride under the Rules of another Racing Authority.

1.2 Racing Authority means a Racing Authority which is a signatory to the reciprocal agreement.

2. The countries of which the Racing Authorities are signatories to the reciprocal clearance agreement are listed in table 1.

Algeria	Germany	Morocco	Switzerland
Argentina	Greece	Netherlands	Tunisia
Australia	Hong Kong	New Zealand	Turkey
Austria	India	Norway	U.A.E
Bahrain	Ireland	Peru	Uruguay
Belgium	Isle of Man	Poland	Venezuela
Brazil	Israel	Qatar	Yugoslavia
Canada	Italy	Romania	
Chad	Japan	Russia	
Channel Islands	Korea	Saudi Arabia	
Chile	Lebanon	Slovakia	
Cyprus	Macau	Slovenia	
Czech Republic	Malaysia/Singapore	South Africa	
Denmark	Mauritius	Spain	
France	Mexico	Sweden	

Schedule 2 - Equipment

PART 1

Skull caps and safety vests

Design of skull cap

1. A skull cap is approved by the Authority if it meets PAS 015: 2011, SNELL E2001, SNELL E2016, VG1 01.040 2014-12, or UTAC/CRITT 04/2015.
2. The skull cap must not have a chin cup, cradle or draw lace.
3. The chin strap must pass under the jaw and be attached to the harness by a quick release buckle.
4. The skull cap must not have metal hooks.

Fitting of skull cap

- 5.1 The skull cap must be of the correct size for the Rider and must be correctly fitted and fastened.
- 5.2 The face harness must be correctly adjusted and the chin strap fastened at all times when the Rider is mounted on a horse.

Design of safety vests

6. A safety vest must conform to (BS) EN 13158: 2009 or 2018.
7. The minimum acceptable standard for a safety vest is Level 2.8. A safety vest must not be
 - 8.1 modified in any way, or
 - 8.2 attached to the horse or any equipment carried by the horse.

PART 2

Whips

8. As regards a whip carried in a flat race

8.1 the maximum length (including flap) is 70 centimetres, and

8.2 there must be no binding within 17 centimetres of the end of the flap.

9. As regards a whip carried in a steeple chase or hurdle race

9.1 the maximum length (including flap) is 68 centimetres, and

9.2 there must be no binding within 23 centimetres of the end of the flap.

10. The minimum diameter for a whip is 1 centimetre.

11. The overall weight must not exceed 160 grams.

12. The contact area of the shaft must be smooth, with no protrusion or raised surface, and covered by shock absorbing material throughout its circumference such that it gives a compression factor of at least 6 millimetres.

13.1 The only additional feature that may be attached to a whip is a flap.

13.2 If a flap is attached, it must comply with the following requirements

13.2.1 the maximum length of the flap from the end of the shaft is 10 centimetres;

13.2.2 the maximum width of the flap is 4 centimetres, with a minimum width of 2 centimetres;

13.2.3 the flap from the end of the shaft must not contain any reinforcements or additions;

13.2.4 the flap must have similar shock absorbing characteristics to that of the contact area

Schedule 3 - Banned substances and notifiable medications

PART 1

This list is not intended to be exhaustive. The use, deliberate or otherwise, of any substance that may convey an advantage to the rider or impair his capability, judgement, coordination or alertness is banned.

CATEGORIES OF BANNED SUBSTANCES

1. Alcohol - at a threshold in the A sample at or above 54 milligrams per 100 millilitres in urine or 17 micrograms per 100 millilitres in breath (as measured using BHA approved, evidential breath testing equipment).

2. Barbiturates, Thiobarbiturates and related compounds.

3. Cannabinoids (or Cannabis metabolites) - at or above a screening threshold in the A sample of 50 nanograms per millilitre as immunoreactive cannabinoids by immuno-assay and confirmed at or over a threshold of 15 nanograms per millilitre 11-nor-delta-9-tetrahydrocannabinol-9-carboxylic acid by gas chromatography/mass spectrometry.

Both measurements must be at or above the stipulated thresholds.

3.1 Any synthetic, semi synthetic or naturally occurring compound that has been shown to have agonist or partial agonist activity at the CB1 or CB2 receptors in the central nervous system

3.2 Rimonabant or any other Cannabinoid receptor antagonist whether used as an appetite suppressant or for any other purpose

4. Gamma-hydroxybutyrate (GHB) and pro-drugs of GHB (1,4-Butanediol, Gammabutyrolactone) at or above a threshold of 10 micrograms per milliliter.

5. Dissociative Anaesthetics and related substances. Substances in this group include, but are not exclusively restricted to Ketamine, Phencyclidine, Tiletamine and related compounds.

6. Lysergic Acid Diethylamide (LSD).

7. Sibutramine and related compounds.

8. Stimulants - excluding Caffeine, Phenylpropanolamine and Pseudoephedrine (For Ephedrine see paragraph 10 below).

Substances in this group include, but are not exclusively restricted to, Amphetamines, Cocaine, and the "Ecstasy" group **e.g. Methylenedioxyamphetamine (MDA), Methylenedioxyethylamphetamine (MDEA), and Methylenedioxymethylamphetamine (MDMA)**. N.B. L-methamphetamine (levo-metamphetamine) is excluded. Cocaine metabolites to be screened at 300 nanograms per millilitre and confirmed at 150 nanograms per milliliter.

N.B. Salbutamol, Salmeterol, Formoterol and Terbutaline may be taken by inhaler only.

9. Other prohibited stimulants - Clenbuterol, Benzylpiperazine and its derivatives, Ketoamphetamines, Cathinone and its derivatives, whether naturally occurring, synthetic or semi-synthetic.
10. Ephedrine at or above a threshold in the A sample of 10 micrograms per millilitre in urine.
11. Diuretics - substances in this group include but are not exclusively restricted to Furosemide, Glycerol, Acetazolamide, Spironolactone, Thiazides, Amiloride, Triamterine, Canrenone, Diclofenamide, Chlorthalidone, Bumetanide, Etacrynic acid and Piretanide.
12. Methylphenidate.
13. Modafinil, Armodafinil and related compounds.
14. Opiates and Opioids - excluding Codeine, Dextromethorphan, Ethylmorphine, Loperamide and Pholcodine. Substances in this group include, but are not exclusively restricted to, Heroin, Methadone, Morphine, Oxycodone, Fentanyl, Tramadol, Tapentadol, Buprenorphine, Dihydrocodeine and Pethidine. Morphine to be screened at a threshold of 2 micrograms per milliliter in urine.

PART 2

This list is not intended to be exhaustive. The use, deliberate or otherwise, of any substance that may convey an advantage to the rider or impair his capability, judgement, coordination or alertness is banned.

NOTIFIABLE MEDICATIONS

15. Anti-depressants, including but not exclusively restricted to

- 15.1 Monoamine Oxidase inhibitors (MAOIs) including Selegiline
- 15.2 Tetracyclic Anti-depressants
- 15.3 Tricyclic Anti-depressants
- 15.4 5HT reuptake inhibitors and other neurotransmitter re-uptake inhibitors such as Venlafaxine
- 15.5 Lithium Salts.

16. Benzodiazepines (e.g. Diazepam, Lorazepam, Nitrazepam, Oxazepam, Temazepam) and substances with similar structure or pharmacological activity (e.g. Benzodiazepine receptor agonists, Zaleplon, Zolpidem, Zopiclone).
17. Sedative medications including the H1 receptor antagonists (e.g. Diphenhydramine, Promethazine and Trimeprazine) as well as medications such as Chloral Hydrate and Meprobromate.
18. Anti-Psychotic drugs including Chlorpromazine, Clozaril, Haloperidol, Olanzapine, Phenothiazines, Atypical anti-psychotic drugs, Melatonin agonists (e.g. Ramelteon) and related substances.

Schedule 4 - The protocol for the testing of riders for banned substances and procedures for notifiable medications

PART 1

GENERAL PRINCIPLES

- 1.1 This Protocol sets out the measures for the testing of Riders for banned substances and procedures for notifiable medications. The Rules applying to the use of banned substances and notifiable medications are contained in Part 6.
- 1.2 Terms used in this Protocol have the meaning given in this Manual.
- 1.3 The lists of banned substances and notifiable medications may be changed by the Authority from time to time.
- 2.1 The use of Banned Substances (including marijuana, cocaine, amphetamines and alcohol) in contravention of the Rules is forbidden. This policy is designed to prevent dangers associated with using these substances both to the individuals themselves and to others participating in the sport of horseracing.
- 2.2 Banned substances are those listed in Part 1 of Schedule 3.
- 3.1 In addition, there are other substances (referred to as Notifiable Medications) where usage in conjunction with race-riding may present an unacceptable danger. When these medications are being used it is therefore necessary for the Authority's Chief Medical Adviser (CMA) to give his consent enabling the Rider to race-ride.
- 3.2 Notifiable medications are those listed in Part 2 of Schedule 3.

Guidelines for disciplinary action

4. Disciplinary action may be taken against a person who is found to have used a banned substance or notifiable medication in contravention of a Rule. Guidelines for such action may be found in the Guide to Procedures and Penalties available from the Authority.

Other substances adversely affecting health or performance

5. The Authority may require a UKAS (United Kingdom Accreditation Service) accredited laboratory (see Paragraph 14) to report the finding of substances other than banned substances or notifiable medications which may adversely affect a Rider's health and performance. These findings will be presented so as to protect the identity of the individuals concerned.

Sampling

6.1 The procedure for collecting samples for analysis is termed sampling and may be carried out at any time on a racecourse or off-course in certain circumstances. The chosen biological matrix for sampling will be urine, sweat, saliva, blood, breath, or hair (for the purposes of enhanced controls pursuant to Part 7 below only). There are separate arrangements described later for testing for alcohol. The Rider must submit to sampling if requested by a Sampling Officer unless exemption has been granted (see Paragraph 20). A Sampling Officer (or SO) means a person authorised directly by the Authority or by an agent approved by the Authority to collect samples from Riders under Part 6 in accordance with the sample collection procedures laid down in this Protocol.

6.2 Sample collection procedures will conform generally to the procedures adopted by the Authority contained within this Protocol.

Procedure following positive analysis of a sample

6.3 When there is a positive analysis of the 'A' sample the procedures laid down in Part 6 of this Protocol will apply. The phrase positive analysis when used in this Protocol is a reference to an analysis the result of which could form the basis of a finding of a contravention of any provision of Part 6.

7. Subject to Paragraphs 8 and 9, the Rider will not be suspended or subjected to other disciplinary penalty under these Rules unless a disciplinary hearing finds that the Rider is in contravention of any provision of Part 6. However the CMA may consider the Rider as unfit to ride if the 'A' sample shows the presence of a notifiable medication (Rule 64) or when the Rider has informed the CMA that he has been prescribed a notifiable medication or if a Rider records a further positive analysis for any banned substance before any disciplinary hearing (except when the substance is alcohol and the Rider had no riding engagements on the day of the test (see Rule 65)). In all such cases the CMA's recommendation to suspend the Rider must be considered by the Licensing Committee which will make the decision on whether or not to suspend and on what terms and conditions. (See also Parts 7 and 10 of this Protocol).

8. A Rider will be suspended from riding on a race day if two breath samples indicate the presence of alcohol at or above the limit specified in Schedule 3 (see also Paragraph 48).

9. At the point of notification in Paragraph 56, in the case of a positive result arising from analysis of the 'A' sample (in respect of banned substances and notifiable medications other than alcohol and diuretics only), the Licensing Committee may suspend the Rider's licence or permit with immediate effect pending a disciplinary hearing. Any decision to impose such a suspension will not be subject to an appeal, however the Rider will be entitled to a disciplinary hearing on an expedited basis. Save in exceptional circumstances, any period of provisional suspension served will be credited against any penalty imposed by the Disciplinary Panel. The Rider may submit an explanation for the positive result within 3 working days of the notification in Paragraph 56. If the CMA considers this to be adequate (who in assessing such explanation may seek any expert opinion he deems appropriate) he shall notify the Licensing Committee who will lift the suspension immediately and the Rider will be notified. If the Rider requests that a 'B' sample analysis takes place and such an analysis does not confirm the result of analysis of the 'A' sample, the suspension will come to an end at the point of notification of the result of any such 'B' sample analysis to the rider.

10. Failure by a Rider to comply with the measures in this Protocol in relation to banned substances or notifiable medications shall be regarded as a contravention of Rule 61 unless this Protocol expressly provides otherwise.

10A. Upon receipt of a report from the SO or a Steward that a Rider has failed to comply with the sampling procedures contained in Rule (D)61, the Licensing Committee may provisionally suspend the Rider's licence or permit with immediate effect. Any decision to impose such a suspension will not be subject to an appeal, however the Rider will be entitled to a disciplinary hearing on an expedited basis. Save in exceptional circumstances, any period of provisional suspension served will be credited against any penalty that may be imposed by the Disciplinary Panel. The Rider may submit an explanation as to his reasons for refusing or failing to cooperate with the sampling procedure within 3 working days of notification of the provisional suspension. The Licensing Committee, in conjunction with the CMA where appropriate, will consider that explanation. If the explanation is deemed adequate by the Licensing Committee, the provisional suspension will come to an end immediately and the Rider will be notified.

11. Any reference to the CMA in this Protocol includes his Deputy duly approved by the Authority.

PART 2

GENERAL TESTING PROCEDURES FOR BANNED SUBSTANCES

12. Sampling will be carried out by SOs at, wherever possible, a sampling station based at the racecourse. The sampling station may consist of a mobile van or a suitable alternative location adapted for the purposes necessary for carrying out sampling.

13. The SOs will identify themselves to the Clerk of the Scales on arrival at the racecourse. The Clerk of the Scales will notify the Clerk of the Course of this arrival and confirm parking arrangements for the sampling station when it is a mobile van.

14. Analyses of urine samples will only take place at a UKAS accredited laboratory approved by the Authority. In all cases the laboratory carrying out the 'B' sample analysis will have access to the complete results/ documentation of the 'A' sample analysis.

15. Breath testing for alcohol shall take place using equipment approved for that purpose by the Authority.

PART 3

SELECTION AND NOTIFICATION OF RIDERS AT RACECOURSES - URINE SAMPLES

16. It is the Authority's intention that testing shall be weighted as between different classes of Riders with the aim that Riders with a full licence will be more likely to be selected for testing. Accordingly, the CMA may instruct SOs as to how many tests are to take place in relation to different categories of Rider, viz: full licence, conditional licence or apprentice licence or amateur permit at any particular meeting at which urine sampling is to take place.

17. The Clerk of the Scales will provide the SOs with a complete list of all Riders declared for racing on that day by category from each of which category a number will be selected at random for urine sampling. Under normal circumstances random sampling will involve the selection of at least 10 Riders for urine sampling, or such other number as the CMA may have directed.

18. The selection procedure requires each Rider to be allocated a unique number. Sequentially numbered discs (one for each Rider) or suitable alternatives shall be placed into a bag and the quota determined by the CMA shall be taken out unseen by the Clerk of the Scales in the presence of the SO and another BHA Official but the results will be kept confidential. Only the selected Riders will be informed and only about their own selection. A Rider is selected if his allocated number matches a drawn number. Riders subject to enhanced testing who are engaged to ride at the meeting will be added to the list of Riders to be tested, along with any other Riders subject to targeted testing at the discretion of the Authority (with the prior specific authorisation of at least one Executive Director of the Authority).

19. The Riders selected for urine sampling shall be so notified by the Clerk of the Scales or other BHA Official on his behalf as soon as practically convenient after arriving at the racecourse. Riders will be required to sign to indicate their acknowledgement of the notification. A Rider so notified must not leave the racecourse at any time before his having provided a complete sample (see Paragraph 29) unless exemption is obtained from the Stewards of the Meeting.

20. Each selected Rider must report to the sampling station and produce his Privilege Access Swipe System (PASS) Card to establish his identity. If the Rider does not have his PASS card, his identity must be established to the reasonable satisfaction of the Clerk of the Scales or other BHA Official, or racecourse member of staff, on his behalf. Each Rider must provide a urine sample for analysis and sign the Chain of Custody Form (CoCF) in the presence of the SO prior to leaving the racecourse unless exemption is obtained from the Stewards. Such exemptions will be made only in very limited circumstances where the Stewards consider it appropriate to do so, for example, where a Rider is engaged to ride at a further meeting taking place that day, or, the Rider is unable to get to the meeting, although these examples are not exhaustive. In any case where exemption has been granted by the Stewards, the Stewards will notify the Clerk of the Scales who will sign the CoCF as confirmation of the exemption. Riders who obtain exemption may be required to undergo off course testing (see Part 8 of this Protocol) at the discretion of the CMA.

Without an exemption being granted by the Stewards as above

20.1 leaving the racecourse before providing a complete urine sample (see Paragraph 29) shall be deemed to be a refusal to provide a sample and therefore a contravention of Rule 61 unless the Rider can establish that it was necessary to leave the racecourse (or some other similarly good reason why he should not be found in contravention of Rule 61).

20.2 failure by the Rider to report to the sampling station within 30 minutes of the finishing time of the last race of the meeting shall be deemed to be a refusal to provide a sample and therefore in contravention of Rule 61 unless the Rider can establish that it was impossible to report to the sampling station or to provide a complete urine sample (or some other similarly good reason why he should not be found in contravention of Rule 61).

21. It is recommended that a selected Rider reports to the sampling station and provides a urine sample as soon as reasonably practicable and, as emphasised above, must so report no later than 30 minutes after the finishing time of the last race of the meeting.

22. The Clerk of the Scales will provide a copy of this Protocol to any selected Rider upon notification of his selection if so requested.

PART 4

URINE SAMPLING PROCEDURES

23. The following procedures will operate.

24. The time of arrival of the Rider at the sampling station will be noted on the CoCF.

25. The identity of the Rider and any accompanying person will be confirmed and noted on the CoCF.

26. Sample collection procedures will be explained to the Rider.

27. When ready to provide a sample of urine the Rider will select a plastic collecting vessel in a sealed wrapper. The collecting vessel will be disposed of after use and new collecting vessels will be used to obtain partial samples.

28. The Rider will accompany the SO to the room where the sample is to be given.

29. The Rider will urinate into the collecting vessel under the supervision of the SO. A minimum of 30 ml of urine will be required for the sample to constitute a complete sample. Where a selected Rider has attended the sampling station but has provided no sample or only a partial urine sample, the Rider must return to the sampling station, within 30 minutes of the finishing time of the last race of the meeting in order to provide a complete sample and in any event must not leave the racecourse before providing his completed sample. Should a Rider fail to comply with these requirements any partial sample (that is less than 30 ml) will not proceed to analysis, and will be destroyed.

30. To ensure authenticity of the sample, the SO may require such disrobing as is necessary to confirm the urine has been correctly produced by the Rider. This means exposure of the body from the middle of the back to below the knees. If the SO has reason to believe that the sample given is not a true sample, a further sample will be required and both samples will be sent to the laboratory in accordance with the procedures in the following provisions of this Protocol.

31. The Rider shall return to the administration area of the sampling station and shall choose a pair ('A' and 'B') of empty bottles from a standard sampling control kit. These kits will have been delivered to the sampling station by one of the SOs and will remain unopened until the bottles are required for use. The bottles will bear unique identification.

32. Either the Rider (or, if requested, the SO) shall divide between the 'A' and 'B' bottles approximately 15ml or half the urine sample into the 'A' bottle and approximately 15ml or the other half of the sample into the 'B' bottle. This procedure shall take place in the presence of the SO, the Rider and any accompanying person as applicable.

33. The bottles shall be tightly sealed and tested by the Rider or the SO by inverting the bottles in the presence of the Rider and any accompanying person.

34. The bottles shall be placed into their corresponding containers and sealed and their unique identification will be noted on the CoCF. The Rider and the SO shall check the container seal and the unique identification against that recorded on the CoCF. Any accompanying person shall be invited to do likewise.

35. The Rider will be asked to identify and declare (to the best of his ability) any drugs or medications taken within the last seven days. The names of such medications and/or treatments and the approximate dosage(s) shall be noted on the CoCF.

36. The Rider and the SO must sign the CoCF and any accompanying person shall be invited to do likewise. Any irregularities in the sample collection procedure identified by the Rider or any accompanying person shall be indicated on the CoCF before signature otherwise the signature will certify that the Rider is satisfied with the

sample collection procedure.

37. The CoCF consists of one original (white) and two copies (coloured yellow and blue). The original (white) shall be sent to the approved laboratory, the (yellow) copy shall be sent to the CMA and the (blue) copy shall be handed to the Rider.

38. If the Rider provides insufficient urine, the partial sample shall be stored until 30 minutes after the finishing time of the last race in a temporary bottle and sealed in the corresponding container. The temporary bottle and container will also bear unique identification which shall be confirmed by the Rider and noted on the CoCF. When the Rider is ready to provide more urine, a further collecting vessel shall be selected by the Rider and the sample provided under observation. The Rider shall return to the administration area and check the seal on the temporary container before the SO breaks it and pours the additional urine from the collecting bottle into the temporary bottle. If the sample is still insufficient, the sealing and recording procedures are repeated. However, when sufficient urine has been provided (30 ml), the procedure will continue as from Paragraph 32.

39. A Rider who has attended the sampling station to provide a urine sample but has not provided a sample and who needs to leave the sampling station before having produced a complete sample (eg to ride in a race at the meeting or to attend an enquiry) will be required to sign to indicate his acknowledgement that he must return as in Paragraph 29. During the Rider's absence, any partial urine sample in the sealed temporary bottle and container will be handled as if it were a complete urine sample and the Rider's absence noted on the CoCF.

40. A refusal or failure to provide a sample or to comply with any requirement of this Protocol is a contravention of Rule 61. If a Rider fails or refuses to give a complete sample or otherwise fails or refuses to comply with any requirement of this Protocol, that fact shall be noted by the SO on the CoCF. The form shall be signed by the Rider if he is present and the SO and any accompanying person shall be invited to do likewise and the form then distributed in accordance with Paragraph 43. A refusal by the Rider to sign the CoCF following a request to do so shall itself be a contravention of Rule 61.

41. The sealed containers carrying the 'A' and 'B' samples will be placed in an outer transport bag together with a sealed envelope containing the laboratory copy of the CoCF. The envelope shall be labelled 'Confidential' and contain details of the number of 'A' and 'B' samples enclosed. Seal numbers for the return journey to the laboratory will be documented.

42. The CMA's copy (yellow) of the CoCF shall be placed in the stamped addressed envelope provided, sealed and labelled 'Confidential' and sent immediately. The number of 'A' and 'B' samples collected will be recorded on the CoCF.

43. The SO shall complete an SO report form indicating the number of 'A' and 'B' samples collected, the selection procedure, and details of any matters which might need to be brought to the attention of the CMA and the approved collecting agent relating to facilities, unusual circumstances or any other relevant matter. The racecard and/or Rider list should be appended to this form. The SO report form shall be forwarded to the approved collecting agent.

44. The samples shall be returned to the laboratory by the SO as soon as possible after collection, utilising a secure chain of custody arranged by the Authority or the approved collecting agent.

45. After all Riders selected for sampling have produced a complete sample or 30 minutes after the finishing time for the last race of the meeting has passed, whichever is earlier, the SO will contact the Clerk of the Scales to inform him whether or not all selected Riders have been accounted for.

PART 5

BREATH TESTING FOR ALCOHOL SAMPLING PROCEDURES AND OTHER SAMPLING PROCEDURES

46. Breath testing for alcohol shall take place on a non-selective basis, which is to say that an SO will conduct breath testing at such meetings as the CMA may require them to attend for that purpose and every Rider present at the meeting and engaged to ride will be required to provide a breath sample. Each Rider will be required to produce his PASS card to establish his identity. If the Rider does not have his PASS card, his identity must be established to the reasonable satisfaction of the Clerk of the Scales or other BHA Official, or racecourse member of staff, on his behalf.

47. Where an SO is present at a meeting to administer breath tests, a Rider will not be permitted by the Clerk of the Scales to weigh out for his first riding engagement of the meeting until he completes the procedures for breath testing, including where this Protocol so requires, giving a second sample.

48. When a Rider is required to report to the sampling station in order to give a breath sample for alcohol the procedures will be explained to him. A failure to provide a breath sample immediately when required shall be deemed to be a refusal to provide a sample and therefore a contravention of Rule 61 unless the Rider can establish that it was impossible to provide a breath sample (or other reasonable grounds why he should not be found in contravention of Rule 61). Exemption from testing will not normally be granted by the Stewards in

respect of breath sampling. In the first instance, a screening sample will be tested, the result of which will indicate whether an immediate breath test to obtain a quantitative reading is necessary. A breath sample which, after being subjected to such a quantitative test, indicates the presence of alcohol at or above the limit specified in Schedule 3 will result in a further breath sample being taken within 15 minutes of the first. If the second breath sample confirms the result of the first breath sample (a failed breath test) the Rider will be suspended from riding for that day forthwith and the Stewards will refer the matter to the Authority.

49. The results of these two tests will be recorded and the Rider will be informed of the results. The lower of the two readings shall be used to determine the level of seriousness of the Rule contravention which may have been committed (see Guide to Procedures and Penalties).

50. When the lower of the two readings is between 17 and 50 micrograms per 100 millilitres in breath, the Rider may elect to provide a urine sample of not less than 30 ml. If the Rider fails to provide such a urine sample within 30 minutes of the second breath test, disciplinary action will proceed on the basis of the lower of the readings given by the breath testing equipment.

51. The taking of a urine sample will follow as closely as the circumstances reasonably allow the urine sampling procedure set out in this Protocol, save for the requirement in Paragraph 50 of this Protocol that the required volume of the sample must be provided within 30 minutes of the second breath test. If a Rider is unable to provide such a sample within the prescribed period, such sample, if any, as he is able to provide will be destroyed. Where a urine sample has been provided in the required amount within the prescribed time, any disciplinary action will proceed on the basis of the result of the urine sample without reference to the result of the breath test unless there is cause to doubt the validity of the analysis of the urine sample or its identification, in which event the lower of the two breath tests may be relied upon.

52. The CMA will notify the rider of the result of an analysis of any urine sample. In cases not involving a urine sample steps to convene an enquiry before a Disciplinary Panel into a possible contravention of the Rules will be taken promptly following the result of a failed breath test. In cases where a urine sample is involved, steps to convene an enquiry will be taken shortly after the Rider is notified of the result of the sample analysis.

53. A list of equipment approved by the Authority for determining alcohol levels by analysis of exhaled air will be available on request from the Authority. Sampling procedures will conform generally with the procedures prescribed by the manufacturer of the equipment in question.

54. When a Rider is required to provide sweat or saliva samples the procedures for taking swabs (which shall have been approved by the Authority and available on request from the Authority) will be explained to him.

PART 6

NOTIFICATION OF RESULTS

55. The results of the analyses of all samples shall be passed directly to the CMA, the Senior Medical Administrator and the Head of Integrity (Operations), and shall not be disclosed to a third party other than the Rider as in Paragraph 56 and such other persons that are required to receive them in accordance with the terms of this Protocol.

56. These results will, wherever possible, be notified to the relevant Rider within 72 hours of receipt by the CMA in such a way as may reasonably be expected to protect the Rider from identification.

57. If analysis of the 'A' sample shows a positive result the Rider may provide an explanation for the positive result to the CMA and require within 3 working days of the notification in Paragraph 56 analysis of the 'B' sample. Wherever possible, the 'B' sample will be analysed within 10 working days of the requirement and at the original laboratory. However, the Rider may also require within 3 working days of the notification in Paragraph 56, that the 'B' sample is analysed at another UKAS accredited laboratory approved by the Authority. A Rider will forego the opportunity to have the 'B' sample analysed or to choose an alternative laboratory for such analysis if he fails to take the necessary action within the aforesaid time periods. Where the Rider requires analysis of the 'B' sample, the Disciplinary Panel may order the Rider to pay the costs of the analysis of the 'B' sample (up to a maximum of £1000) if it is satisfied that the Rider 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 the Rider at the time.

58. The Rider concerned, and/or a representative is entitled to be present during analysis of the 'B' sample at the laboratory on production of appropriate identification. The Rider will be consulted over the fixing of the appointment for the analysis of the 'B' sample and the Authority will use reasonable endeavours to accommodate the Rider and his chosen representative. The Rider shall be entitled to not less than 3 working days' notice of the date of the analysis but his presence is not essential to the process and he shall have no complaint if the appointment is inconvenient for him or his representative even to the extent of making their presence impossible.

59. The result of 'B' sample analysis will, wherever possible, be notified to the Rider within 72 hours of receipt by the CMA.

60. If the Rider does not request analysis of the 'B' sample within the stipulated period or analysis of the 'B' sample confirms a positive result the matter will be referred to the Compliance Department for preparation of disciplinary charges and arrangement of a Disciplinary Panel enquiry. In this Protocol positive result means the result of an analysis of a sample which shows the presence of any banned substance or notifiable medication as defined and provided for in Rule 58. When analysis of a 'B' sample takes place and it does not confirm a positive result the Rider will not be in contravention of Rule 64 or 65.

PART 7

ENHANCED CONTROLS

61. Riders penalised for a contravention of any provision of Part 6 may, at the discretion of the Authority, be obliged to submit to an enhanced sampling programme on and off-course as a condition of reinstatement and to undergo additional sampling during the period of suspension, off-course. In addition, a Rider who is the subject of a positive 'A' sample may be obliged to submit to an enhanced sampling programme on and off-course until the time of the disciplinary hearing or until any 'B' sample fails to confirm the result, whichever is the earlier (see Parts 8 and 9 of this Protocol).

62. Riders penalised by a Recognised Racing Authority or convicted by a criminal court for an offence relating to drugs may, at the discretion of the Authority, also be required to submit to an enhanced on and off-course programme of sampling over a period of 60 months from the time when the penalty or conviction is imposed. Note: Riders found to have committed an offence relating to drugs and disqualified by a Recognised Racing Authority should note the provisions of Rule (A)68 (person disqualified by order of a Recognised Racing Authority).

63. Riders required to submit to an enhanced programme of sampling must be notified in writing of this requirement and shall not be selected for enhanced sampling before such notification has occurred. The contents of any such letter addressed to the Rider at the address most recently given to the Authority's office as his address, shall be regarded as having been notified to him 7 days after the date of posting.

64. Riders subject to enhanced testing will be identified by an official list supplied by the Authority given to the lead SO. The list will be time limited and regularly reviewed.

65. Following the random selection procedure, any Rider subject to enhanced testing who has not been selected by the random selection procedure may be required to undergo sampling in accordance with the sampling procedure specified in Part 4 of this Protocol.

PART 8

SAMPLING TESTS CONDUCTED OFF-COURSE

66. If a Rider is exempted from a sampling test at the racecourse or is subject to an enhanced sampling programme or is ordered by the Stewards under Rule (B)8 to submit himself to testing for the presence of a banned substance or notifiable medication, he may be required to undergo off-course testing and the procedure outlined below will operate unless Paragraph 73 or Part 9 of this Protocol applies.

Note: a Rider who is selected for random urine sampling and who fails to arrive at the racecourse will be required under Rule (B)8 to undergo off-course testing.

67. An SO will contact the Rider by telephone or in person, without prior notice, to notify the Rider of his selection for off-course testing. The SO will carry appropriate authorisation naming the individual, together with his SO identity card.

68. The SO will make a minimum of three attempts to contact the Rider over a period of 5 days. The SO shall not identify the purpose of the contact to anyone other than the Rider. If the Rider is unavailable or absent throughout this time from the address provided by the CMA, then the SO shall forward a report of non-availability to the approved agent.

69. When the SO contacts the Rider by telephone, a time and place for collection of the sample will be arranged as soon as possible and no later than within 8 hours of the contact. The Rider will be invited to propose a close and easily accessible meeting point and a reasonable time and suitable, private place for sampling. The Rider's suggestion will be the sampling place provided the SO agrees that such place is suitable for carrying out the sampling procedures. If the SO acting reasonably considers the suggested sampling place is unsuitable the Rider must propose an alternative(s) until the SO is able to agree one which is suitable. The SO will wait for one hour at the proposed meeting point beyond the time agreed. Thereafter the Rider shall be declared as absent from testing and a report made to the approved agent.

70. The Rider shall attend at the time and meeting point agreed. Any Rider who fails to suggest a reasonable time and sampling place and/or who fails without reasonable cause to attend the agreed meeting point at the agreed time and/or who having attended as agreed fails without reasonable grounds to provide the requisite sample or

samples shall be deemed to have refused a sample in contravention of Rule 61.

71. The Rider will be advised to bring means of identification and of his right to be accompanied by one other person during the sample collection procedure. Any accompanying person should also bring means of identification. Details of the means of identification will be recorded on the CoCF and SO report form.

72. If the SO notifies the Rider in person without prior notice, sample collection procedures may begin immediately.

73. Urine sampling will also be conducted off-course at the British Racing School and Northern Racing College when a Rider is attending riding courses run by either establishment. Any Rider attending such courses may be subject to sampling which will not be conducted on a random sampling basis. If analysis of a urine sample in such circumstances shows a positive result the procedures specified in this Protocol for such eventuality apply and the matter will be referred to the Integrity, Legal and Risk Department. The procedures specified in Paragraphs 67 to 72 do not apply to such sampling.

74. Sample collection procedures conducted off-course will as far as practicable follow those specified in Part 4 of this Protocol.

PART 9

PROCEDURES TO BE FOLLOWED REGARDING REINSTATEMENT

75. Following the withdrawal of a Rider's licence or permit for contravention of Rule 61, 63, 64 or 65, the Rider should contact the CMA halfway through the period of withdrawal in order to make arrangements for the completion of any reinstatement protocol in force from time to time prior to the end of the period of withdrawal. In any event, the Rider must give the CMA a minimum of 4 weeks' notice of his intention to apply for the reinstatement of the licence or permit.

76. During the said 4 week period the Rider must be available at all times in Great Britain (England, Scotland and Wales) for ready contact. A contact address and telephone number must be provided with the notice which will enable the SOs and/or counsellors appointed by the Authority to contact the Rider for testing without notice and counselling.

77. If the SOs and/or counsellors appointed by the Authority are unable to contact the Rider on two occasions an explanation will be required from the Rider and is likely to lead to the licence or permit application being delayed.

PART 10

PROCEDURES FOR NOTIFIABLE MEDICATIONS

78. When a Rider is prescribed by a medical practitioner any notifiable medication (as listed in Part 2 of Schedule 3) the Rider must inform the CMA of that fact immediately.

79. After the CMA has been informed that a Rider has been prescribed a notifiable medication he will consider whether the Rider is unfit to ride. In appropriately serious cases he may recommend forthwith to the Authority's Licensing Committee that the Rider's licence be suspended until such time as is necessary for the procedures specified in Paragraphs 80 and 81 to be completed. The Licensing Committee may make its decision without a hearing and without the Rider being given prior notice of the recommendation.

80. To enable the CMA to consider whether the Rider is or is not fit to ride, the Rider must confirm in writing that he has been prescribed a notifiable medication accompanied by a report from his medical practitioner stating the diagnosis and the prognosis for recovery. The Rider will provide, if so required by the CMA, the Rider's permission to contact the Rider's medical practitioner and/or specialist and to obtain such further medical report(s) and history as the CMA may reasonably deem necessary relevant to his assessment of the Rider's fitness to ride and will submit to any medical examination by the CMA and/or an independent medical practitioner as the CMA may require.

81. Upon completion of the process the CMA may either

81.1 authorise the Rider to continue to ride, or

81.2 recommend to the Licensing Committee that the Rider's licence or permit be suspended until such time as the course of medication is completed or the Rider's medical status is no longer a cause for concern. The Licensing Committee may make its decision without a hearing and without the Rider being given prior notice of the recommendation.

82. The Rider may invoke the Medical Review Procedure in relation to any suspension imposed by the Licensing Committee following a recommendation by the CMA.

83. Where it is established that a Rider has failed to obtain the written authorisation referred to in Paragraph 80 he will be in contravention of Rules 63 and 64.

Schedule 5 - Deleted

Schedule 6 - Fees

Flat races

1.1 Paragraph 1 applies to any Professional Rider (including an Overseas Rider) riding in a flat race run under these Rules.

1.2 Subject to Paragraph 5.2, the fee payable to the Professional Rider for a race is £127.14.

1.3 If VAT is payable, it must be paid in addition to the fee unless the Professional Rider is an Apprentice Jockey (in which case the fee paid shall be inclusive of VAT where applicable).

2. Where a fee under Paragraph 1 is payable to an Apprentice Jockey, the Apprentice Jockey and his employer must each pay a sum of 5.0% of their share of the fee to the Authority for industry training.

Steeple chases, hurdle races or National Hunt Flat Races

3.1 Paragraph 3 applies to any Rider (including an Overseas Rider) riding in a steeple chase, hurdle race or National Hunt Flat Race run under these Rules.

3.2 Subject to Paragraph 5.2, the fee payable to the Professional Rider for a race is £173.59.

3.3 If VAT is payable, it must be paid in addition to the fee unless the Professional Rider is a Conditional Jockey (in which case the fee shall be inclusive of VAT where applicable).

3.4 In the case of an Amateur Rider no fee is payable except where he

3.4.1 rides in a race that is not confined to Amateur Riders, and

3.4.2 has had more than 75 rides in Great Britain in races open to Professional Riders,

when a sum equal to the fee payable under Paragraph 3.2 must be paid to the Authority unless the horse is the sole property of one or more of the Persons listed in Paragraph 3.5.

3.5 The listed persons are

3.5.1 the Amateur Rider,

3.5.2 his spouse or civil partner,

3.5.3 any of his parents, grandparents, sons, daughters, grandchildren, brothers or sisters, or

3.5.4 the executors or administrators any of the above.

4.1 Where a fee under Paragraph 3 is payable to a Conditional Jockey

4.1.1 subject to Paragraph 4.2, the sum of 3.75% of their share of the fee must be paid to the Authority by both the Conditional Jockey and his employer where the Conditional Jockey is eligible to claim a 7lb weight allowance under Rule (F)141, or

4.1.2 the sum of 7.5% must be paid by the Conditional Jockey to the Authority if the Conditional Jockey is no longer eligible to claim the 7lb allowance.

4.2 The sum is not payable by the employer if the employer is a Trainer who holds a permit granted by the Authority.

4.3 All sums payable are for industry training.

Fees becoming due

5.1 Subject to Paragraph 5.2, a fee under Paragraph 1 or 3 becomes payable

5.1.1 in a case where the Stewards have given permission for a horse to proceed to the start before the signal to mount is given, once the Rider has mounted, and

5.1.2 otherwise, once the signal to mount is given.

5.2 A Rider shall not be entitled to any fee, and the Owner shall not be payable for any fee, in respect of a race where the Rider is found to have contravened any of the following Rules

5.2.1 Rule (B)53 (dangerous riding), or

5.2.2 Rule (D)47 (failure to present himself to be weighed in).

6. Where a fee is payable under Paragraph 1 or 3, the Owner of the horse must pay an additional sum equivalent to 13% of the fee to the Trustees of the Professional Riders Insurance Scheme for application under the trusts of the Scheme.

7. Subject to Paragraph 5, an additional fee shall be payable where the Stewards authorise the substitution of a Rider following weighing out in exercise of their powers under Rule (B)25.2.2 (late change of rider after weighing out).

Fees payable-on-course physical therapy

8. Where a fee is payable under Paragraph 1, 3 or 7 to a Professional Rider, the Rider shall pay the sum of

8.1.1 0.5% in respect of a flat race

8.1.2 0.65% in respect of a steeple chase, hurdle race or a National Hunt Flat Race

to the Authority for the provision of on-course physical therapy services.

Fees for Master Valets and Assistant Valets

9.1 A Master Valet or an Assistant Valet shall be paid a daily attendance entitlement in relation to each occasion that he attends and provides services at a race meeting.

9.2 The payment shall be made from the Jockey's Valets' Attendance Fund and the rate shall be such as the Authority may from time to time decide.

9.3 Jockey's valets' attendance fund means such organisation as the Authority may from time to time specify as being the organisation which it considers best represents the interests of jockey's valets.

Fees for Professional Rider when horse is a non-runner

10.1 Any Professional Rider who has been declared to ride a horse under Rule (F)92 or substituted to ride a horse under Rule (B)25 but whose horse is subsequently made a non-runner at or after 9.00a.m. on the day of the race will receive a fee of £50.86(Flat) and £69.44(Jump).

10.2 If VAT is payable, it must be paid in addition to the fee unless the Professional Rider is an Apprentice or Conditional Jockey (in which case the fee paid shall be inclusive of VAT where applicable).

10.3 No fee is payable where the meeting or race is abandoned.

10.4 No additional payments or deductions are applicable to either fee.

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.

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