

LIC/LON/0911

Dear Sir or Madam,

APPLICATION FOR A PERMIT TO TRAIN 2011/2012
UNDER RULE (C)4 OF THE RULES OF RACING

An application form is enclosed for a Permit to Train for the period from 1st October 2011 until 30th September 2012.

Every application has to be considered individually upon its merits. Additional correspondence will be involved and a personal interview may be necessary. Applications must be received at the Authority's office at least 2 months before the date on which the permit will be required in accordance with Rule (C)5.

In completing the enclosed form, you are directed to the attached Guidance Notes which should be read in full. You will be required to sign a declaration to confirm that you have read and understood and that you comply with each of the relevant sections.

The enclosed Modular Training Guide gives full details of formal training which the Licensing Committee requires of applicants for Permits to Train.

In the event that your application is successful, you will be required to forward a cheque as payment for the Permit, made payable to 'British Horseracing Authority Ltd' (current fees are detailed overleaf). Please note that this fee is in addition to the cheque provided for the Stable Inspection as part of your initial application.

Should you require any further information or advice regarding renewal of your Licence, please do not hesitate to contact one of the Licensing team on 020 7152 0140, or licensing@britishhorseracing.com.

Yours sincerely,



John Smith
Licensing Team Manager

FEES LAID DOWN BY THE BRITISH HORSERACING AUTHORITY

The charging structure for the 2011 Permit fee is:

| 2011 Permit Fee | £ |
|---|----------------|
| Permit Fee | 205.00 |
| VAT @ 20% | 41.00 |
| On-line only access to the Racing Calendar & Programme Books | 298.30 |
| Rehabilitation of Racehorses | 10.00 |
| Donation to Racing Charities | 6.00 |
| TOTAL (incl. VAT) | £560.30 |

SUBSCRIBING TO PAPER PUBLICATIONS

The Permit fee detailed above will **only** provide online access to the Racing Calendar and Programme Books via the Racing Administration website (www.racingadmin.co.uk).

Should you wish to continue receiving paper copies of either publication, please contact Weatherbys Commercial Services on 01933 440077. The additional costs for these publications are as follows:

- Racing Calendar £103.00
- Programme Books £26.25

HALF YEARLY FEE: 1ST APRIL 2012 – 30TH SEPTEMBER 2012

Applicants applying after 1st April 2012 will be required to pay the reduced fee below:

| 2012 Half Year Permit Fee | £ |
|---|----------------|
| Permit Fee | 188.75 |
| VAT @ 20%* | 37.75 |
| On-line only access to the Racing Calendar & Programme Books | 154.15 |
| Rehabilitation of Racehorses | 10.00 |
| Donation to Racing Charities | 6.00 |
| TOTAL (incl. VAT) | £396.65 |

The half year cost for paper publications, requested via Weatherbys Commercial Services, are as follows:

- Racing Calendar £51.50
- Programme Books £13.13

LIC/LON/1011

**APPLICATIONS FOR A PERMIT TO TRAIN
GUIDANCE NOTES**

1. These Guidance Notes should be read before completing the Application Form to which they relate. They are designed to assist but should any matter be unclear, applicants are encouraged to contact the Authority's Licensing Team for further confidential guidance.
2. Applications are considered on their individual merits but within the framework of these Guidance Notes.
3. Applications should be sent to the Licensing Department, 75 High Holborn, London, WC1V 6LS. First time applicants should allow at least two months in order for the application to be considered and applicants for renewal a period of at least one month.
4. Applicants are required to demonstrate or confirm that:
 - They have the competence and capability to train;
 - They have access to appropriate training facilities;
 - They have security of tenure for the premises from which they wish to train;
 - They comply with relevant Health and Safety responsibilities;
 - They comply with all relevant employment responsibilities;
 - They have appropriate Public Liability Insurance and, where appropriate, Employers' Liability Insurance;
 - The necessary financial resources are available to the training operation; and
 - They are otherwise in all the circumstances suitable to hold a permit (i.e. that they are 'fit and proper').
5. Permits will not be granted to those who in the opinion of the Authority:
 - are not genuine 'amateurs' for whom the training of horses as a preparation for racing is a pastime and not a relevant part of a business enterprise
 - run a business of keeping horses belonging to persons outside the categories of those for whom they are eligible to train, except those horses which are kept solely for the purposes of maintaining the activities of a Stud
 - maintain a business of either making their own young horses for sale or taking horses which are the property of others to make or break into hunters, eventers or racehorses.
6. Renewal of a Permit is not automatic and the previous performances of horses trained by each applicant will be taken into account. Each application for renewal is considered on its merits but as a guide, your Permit may not be renewed if your runners have consistently jumped badly, fallen, always been behind, tailed off, been unruly, etc.

7. The detailed guidance contained in the remainder of this document sets out what is required and what each applicant will need to show.

A. COMPETENCE AND CAPABILITY

8. Each applicant will have to satisfy the Authority that he/she is competent to and capable of, training horses with due regard to the welfare of the horses in their care and the sport as a whole.
9. In determining a person's competence and capability the Authority will have regard to all relevant matters.

10. First time applicants will normally have to demonstrate at least the following:

- 10.1. Had several years experience in training establishments in a responsible and senior position preferably as an Assistant Trainer in a successful racing yard.

- 10.2. Running a Point to Point yard for at least 2 years and having achieved a minimum of 2 Point to Point/Hunter Chase wins (other than Members' Races) and had runners which have performed with distinction in Hunter Chases.

- 10.3. The Work Based Diploma (WBD) Level 3 in Racecourse Care and Management.

- 10.4. Successful completion of Module 1 of the training programme held either at the British Racing School, Newmarket or the Northern Racing College, Doncaster.

- 10.4.1. If you have already trained 5 winners and 50 runners under the Rules of a recognised Turf Authority (including Hunter Steeple Chases but excluding Point to Point Steeple Chases) you may request exemption from Module 1.

- 10.5. Enrolment on a one-day training seminar for potential trainers at Weatherbys' offices in Wellingborough, Northamptonshire.

11. A first time applicant will also have to satisfy him/herself and confirm to the Authority that:

- 11.1. They can recognise the signs of normal health, common diseases and ailments in a racehorse.

- 11.2. They have a sufficient understanding of:

- 11.2.1. the basic anatomy of horses, of preventative medicine and veterinary treatment;

- 11.2.2. the principles of exercise physiology related to racehorses and especially the effects of transport and the immediate pre- and post-race periods;

- 11.2.3. the principles of feeding racehorses;
- 11.2.4. racecourse procedures, e.g. declarations, saddling up, etc; and
- 11.2.5. the regulatory requirements of the Authority and the Rules of Racing, particularly in relation to integrity.

12. In relation to persons who have previously been licensed outside Great Britain, a Certificate of Clearance and licensing record from the relevant Turf Authority (under whose Rules they were last licensed) should also be provided.

B. IDENTITY DOCUMENTS

- 13. First time applicants are required to submit a certified copy of their Passport or Birth Certificate, signed by a professionally qualified person (e.g. lawyer, teacher, local councillor or police officer) or a person of similar status, who must have known the applicant personally for at least two years.
- 14. The individual signing the photocopied document must also complete a 'Declaration to Support Identity of Applicant' form.

C. TRAINING YARD AND FACILITIES

- 15. If a permit to train is granted, it is on the understanding that it is restricted to training horses at or from the stables to which the application relates; it does not permit the applicant to train at or from any other stables. Application forms for the approval of a Change of Stables are available from the Licensing Department.
- 16. The yard and training facilities must be of a standard (as to suitability and security) that meets the requirements of an inspection to be carried out before any permit is granted by a Stable Inspecting Officer from the Authority's Integrity Services and Licensing Department and, when considered appropriate, a Veterinary Officer.
- 17. All applicants will be expected to have the following facilities within hacking distance of their stables:
 - 17.1. Gallops of approximately 6 furlongs;
 - 17.2. At least one plain fence and one open ditch with wings over which 2 horses are able to school alongside one another (15 feet in width). Fences should be well-packed and firm, with painted guard rails. If possible, they should form part of an acceptable gallop;
 - 17.3. At least 2 flights of hurdles with wings over which 2 horses can school alongside (15 feet in width); and
 - 17.4. Access to 'nursery facilities', e.g. poles, logs, tyres, etc, for teaching young horses to jump or for re-educating older horses.

18. If the applicant intends to use 'central' gallops and/or schooling facilities e.g. Epsom, Lambourn, Malton, Middleham and Newmarket, or facilities owned by another person he/she must obtain provisional approval from the appropriate persons before submitting the application. If the application is subsequently granted, it will be a condition of the licence that the Permitted Trainer obtains written confirmation of the availability of these facilities.

D. SECURITY OF TENURE

19. The applicant or the person or persons who will run the proposed training operation must have security of tenure in respect of the yard and training facilities. In the case of a new application a copy of the draft lease or tenancy agreement will be required.

E. HORSES

20. In accordance with Rule (C)4, the holder of a Permit to Train is only qualified to train horses for Steeple Chases, Hurdle races and National Hunt Flat Races which are the sole property of:

- 20.1. the holder of the permit,
- 20.2. his spouse or civil partner;
- 20.3. his parents or grandparents,
- 20.4. his sons or daughters,
- 20.5. his grandchildren,
- 20.6. his brothers or sisters,
- 20.7. a Person who appears to the Authority to be co-habiting with the holder of the permit by reason of a personal relationship, and
- 20.8. the executors or administrators for any of the above.

21. All horses must be free of all leases or other joint arrangements apart from those between the Persons for whom the permit holder is entitled to train.

22. Permits will not normally be granted to new applicants wishing to train horses with no proven form in Point-to-Point Steeplechases or under the Rules of Racing

F. HEALTH AND SAFETY

23. An employer has certain responsibilities for compliance with Health and Safety legislation. Applicants are provided with 'the Red Book' regarding Health and Safety in the Racing Industry. These are guidelines drawn up in collaboration with the Health and Safety Executive (HSE) to show Trainers how to interpret their legal requirements using simple explanations and practical examples. Applicants are also encouraged to seek advice from their local HSE representative.

G. STAFF

24. Applicants are asked to give an undertaking when applying for a permit that the staff will be employed in accordance with such fair and reasonable terms and conditions of service which, taken as a whole, are no less favourable than the Terms and

Conditions of Service agreed and established by the National Joint Council for Stable Staff (Schedule (C)1).

H. PUBLIC LIABILITY INSURANCE

25. All licensed Trainers are required to have Public Liability Insurance providing minimum cover of £2 million. This policy must include cover for any awards of damages given to a member of the public arising out of the death, bodily injury or damage to property suffered by members of the general public at a recognised race meeting. Trainers may also to require Employers' Liability Insurance.

I. GENERAL SUITABILITY ('FIT AND PROPER')

26. In considering any application, the Authority must also be satisfied, taking into account any fact or matter that it considers appropriate, that the applicant is suitable to hold a Permit to Train. Relevant considerations include the applicant's honesty and integrity, and financial soundness.

27. In relation to each section below, the Authority expects full and frank disclosure from the applicant, who is required to disclose matters known to him/her and those which he/she can be expected to discover by making enquiries. Failure to do so will be a relevant factor in the assessment as to an applicant's, competence, honesty and integrity.

28. A person whose conduct, behaviour or character is not in accordance with that which, in the opinion of the Authority, should be expected of a permitted person, may not be considered suitable and therefore may be refused a permit.

29. In some cases a single factor may lead to the conclusion that someone is not suitable, whereas in another case the determination of whether someone is not suitable may depend upon the cumulative assessment of a number of matters.

30. It is not possible to produce a definitive list of all matters that would be relevant to a particular application. This document should be considered a guide as to the sorts of considerations that the Authority will have in mind when making such an assessment.

Honesty and Integrity

31. The criteria to which the Authority will have regard in assessing honesty and integrity include the following:

31.1. Whether the applicant has been convicted of any criminal offence in Great Britain, or a foreign jurisdiction, excluding offences which are spent under the Rehabilitation of Offenders Act 1974 and in the case of foreign offences, such as may be appropriate. Particular consideration will be given to offences of dishonesty, fraud and those relating to sexual conduct, violence, animal welfare and health and safety.

- 31.2. Whether the applicant is the subject of any proceedings of a criminal nature, has been charged in connection with any alleged criminal offence or is aware of circumstances which may lead to his/her being so charged.
 - 31.3. Whether the applicant has been the subject of any adverse finding by a judge in any civil proceedings, or has settled civil proceedings brought against him/her relating to any matter which could reasonably be said to materially affect his/her suitability to hold a permit.
 - 31.4. The applicant's record of compliance with the regulatory requirements of the Authority or its predecessors, of any other Turf Authority or of a regulator of any other sport in which he/she has participated or has been otherwise involved.
 - 31.5. Whether the applicant has been candid, open and truthful in all his/her dealings:
 - 31.5.1. with the Authority in relation to the present or relevant past licence applications; and
 - 31.5.2. with any other Turf Authority or other sports regulator.
 - 31.6. Whether or not the applicant has been dismissed from any previous employment or position of trust or has been asked to resign or resigned on grounds connected with his/her honesty or integrity.
 - 31.7. Whether an applicant has been convicted of, or dismissed or suspended from employment for drug or alcohol abuses or other abusive acts or has other lifestyle or social issues, which are likely either to:
 - 31.7.1. Impair significantly his/her ability to safeguard the welfare of the horses in training or meet the regulatory requirements of the Authority; or
 - 31.7.2. Render the applicant a threat to the health, welfare or safety of others involved in horseracing, or to the integrity of the sport.
 - 31.8. Whether the applicant has engaged in conduct or there are circumstances which may render the applicant susceptible to pressure from persons seeking to corrupt horseracing and whether the applicant is likely to or may engage in such conduct.
 - 31.9. Whether the applicant has observed the Integrity Provisions contained within these Guidance Notes
32. An applicant's fitness and propriety includes assessment of the fitness and propriety of those with whom he/she is or may be associated or connected with in their personal or business dealings. For example, if the applicant has been a director or shareholder of a company that has committed a criminal offence, that matter will be taken into account and its ultimate relevance to his/her suitability will be assessed in the light of the applicant's responsibility (if any) in relation to that offence.

33. The Authority has a policy of not granting a trainer's permit to a person actively engaged as a Bookmaker having made the judgement that such a close financial interest, potentially in conflict with his interest as a trainer, is likely to diminish public confidence in the integrity of racing. Other interests of trainers in betting businesses, e.g. shareholdings other than in plcs or in different types of betting (spread betting) will be considered on a case by case basis and a judgement made on whether the interest in question could reasonably cause public concern about the integrity of racing. Factors to be taken into account by the Authority will include the size of the shareholding and the degree of involvement with the management of the business. If it came to the Authority's notice that a trainer had an interest and that interest was subsequently judged to compromise the trainer, he would be given reasonable time to divest himself of the interest in a manner acceptable to the Authority.

Administrative Competence And Capability

34. The applicant must also demonstrate his/her competence and capability to run the proposed training operation, The Rules of Racing require that the training operation to which the licence relates must be carried on with reasonable care and skill.

34.1. Whether there are or will be in place such measures as may be required:

34.1.1. by the Health and Safety Executive or other competent body pursuant to health and safety legislation; and

34.1.2. in connection with animal welfare;

34.2. Whether there are in place such procedures or measures as will:

34.2.1. ensure that the employees are from time to time aware and made aware (e.g. by appropriate health and safety induction) of those requirements and standards as they apply to the operation; and

34.2.2. enable the applicant to determine that their employees are acting in the manner required by those standards.

35. Whether there are in place such facilities and procedures as are required by law and/or are reasonably necessary in connection with the provision of a safe system of work and health and safety at the premises where the training operation is to be undertaken.

Financial Soundness

36. The Authority will take into account the financial track record of an applicant and all the relevant circumstances in assessing the likely financial soundness of the applicant.

37. Relevant factors include:

- 37.1. Whether the applicant has been the subject of any judgement debt or award in Great Britain or elsewhere, which remains unpaid or was not satisfied within a reasonable period.
- 37.2. Whether the applicant has ever, in Great Britain or elsewhere, made arrangements with his creditors, filed for bankruptcy, had a bankruptcy petition served on him, been adjudged bankrupt, or been the subject of any other bankruptcy process (including any restrictions order or undertaking or sequestration of assets).

Integrity Provisions

38. The following Integrity Provisions set out the standards of behaviour to be observed by all Permitted Trainers as conditions of the grant of their Permit. As a Permitted Trainer, you agree to:

- 38.1. Avoid the company of Persons whose conduct, character or reputation indicate that they may pose a threat to the integrity of horseracing.
- 38.2. Make sure you have read and understood the definition of Inside Information in Rule (A)36.
- 38.3. Refrain from regularly passing Inside Information to anyone other than the connections of the horse, even where there is no reward except in cases specifically allowed for in the Rules.
- 38.4. Ensure that relationships with Betting Organisations or any Person representing a Betting Organisation do not confer special privileges or concessions which may invite adverse inferences to be drawn.
- 38.5. Report to the Authority any suspicious or unusual financial transactions (for example, cash payments in excess of a total of £10,000 for a transaction connected with the business of training racehorses).
- 38.6. Ensure that the usage of pass cards and any metal badges within a licensed racecourse complies with the user conditions laid down by the Racecourse Association.

J. SPECIFIED REQUIREMENTS

Absolute Requirements

39. The specified cases detailed below are requirements which an applicant must satisfy in order for an application to be considered by the Authority:

| Requirement | Guidance Notes Reference Point |
|--|--------------------------------|
| To supply such documentation detailed in the Guidance Notes & Application Form (first time applicants only) | |
| Obtainment of the Level 3 Diploma in Work Based Racehorse Care and Management (WBD) via pathway C, D or H (first time applicants only) | 10.3 |

| | |
|--|---------|
| Completed Module 1 of the Trainers Modules (unless meeting the requirement for exemption as detailed in the 'Guidance Notes') (first time applicants only) | 10.4 |
| To submit a certificate of clearance where the applicant has previously been licensed outside Great Britain from the relevant Racing Authority | 12 |
| Premises from which to train | 13 |
| Access to those facilities detailed in the Guidance Notes for Permits to Train | 14 & 15 |
| Security of Tenure for the proposed training premises | 17 |
| A minimum of 1 horse to train should the application be granted, which meets the requirements of Rule C(4) | 18 |
| Confirmation that any staff are employed in accordance with Schedule (C)1 of Rules of Racing | 22 |
| Public Liability Insurance which meets those requirements detailed in the Guidance Notes. | 23 |

40. The mere provision of the documents required above may not be sufficient to ensure that an application is considered by the Authority. Such documents must also be complete and fit for purpose. Similarly, whilst satisfaction by the applicant of the other requirements in paragraph 36 (as a matter of fact) will enable the Authority to consider their application, the applicant should not presume that will result in a Permit being granted. The manner in which such requirements are met will be one of the factors for the Authority to consider in assessing the applicant's suitability in accordance with these Guidance Notes, and in deciding whether or not to grant a Permit."

Procedural Guidelines for applications for Licences, Permits and Registrations

41. For the full procedural guidelines relating to applications to the Authority for Licences, Permits and Registrations and procedural guidelines for hearings of the Licensing Committee, where it is considered appropriate to convene a hearing pursuant to the Rules of Racing please visit <http://rules.britishhorseracing.com//> -
 General Manual (A) Schedule 9.

LIC/665/1110

MODULAR TRAINING PROGRAMME FOR APPLICANTS FOR LICENCES AND PERMITS TO TRAIN RACEHORSES

INTRODUCTION

In order to ensure that professional standards in the racing industry are of the highest possible level, a range of mandatory criteria must be met by applicants for licences and permits to train racehorses before their applications will be considered by Authority. A modular training programme has been designed with the aim of giving the participants improved knowledge and skills in a range of areas. The programme outlined below must be completed satisfactorily before an application will be considered.

CONTENT OF THE MODULAR TRAINING PROGRAMME

The format of the programme is as follows:

Module 1 – Racehorse Management

To achieve Module 1, applicants for licences and permits to train must complete the following in the order outlined:

1. Attainment of Level 3 Diploma in Work Based Racehorse Care and Management (WBD), via one of the following pathways:
 - a. Exercise Riding Pathway (C)
 - b. Specialist Racehorse Care Pathway (D)
 - c. Race Riding Pathway (H)

This has been designed specifically for the racing industry and is a nationally recognised, skill-based qualification. The awarding body for the qualification is the British Horseracing Education and Standards Trust (BHEST) and the WBD can only be taken through one of their Accredited Centres, which are the British Racing School (BRS) and the Northern Racing College (NRC).

The procedure for obtaining a Level 3 WBD is detailed at Annex A. You are advised to plan well ahead (minimum two months) and contact the British Racing School or Northern Racing College as soon as possible regarding your assessment.

2. Attendance on and completion of one-week course in Racehorse Management

The BHEST must have received confirmation of your achievement of the Level 3 WBD before you can attend this course, the content of which is outlined at Annex B.

The course will give you an insight into horse health, feeding and nutrition, training and fitness and licensing/racecourse procedures, with expert speakers on each topic. Past attendees have made the following comments after completing the course:

“A very varied and informative week and well worth attending”

“I really enjoyed this Module and found out everything related to training horses. Could not fault it at all.”

“...this course has exceeded all my expectations. Well organised, with people who are enthusiastic and interested in their particular field which they imparted with great skill.”

3. Attendance at a one-day seminar at Weatherbys in Wellingborough.

Module 2 – Business Skills for Racehorse Trainers

Attendance at this Module (and Module 3) only applies to applicants for licences and not those seeking permits. However, potential permit holders may attend either Module 2 or 3 if spaces are available. These will be offered after the 30 day pre-payment deadline for potential licensed trainers has passed.

This one-week Module focuses on the general business skills you will need to run a successful racehorse training establishment, with the content including business planning, obtaining finance, accounting principles, business law, marketing and media skills. You will have the opportunity to learn about these subjects from specialists in the racing industry. As a recent attendee commented:

“This course was essential to gain an understanding of accounts. I would like to add that the speakers from Pricewaterhouse Coopers and Barclays Bank were fantastic in their approach and coaching.”

Module 3 – Staff Management

Having learnt about Racehorse and Business Management in the first two Modules, this final Module concentrates on the other vital factor in a successful business – the people. With the increasing competition for staff and the complexity of employment regulations, this Module will equip you with important information on, and skills in, recruiting, employing and managing people. You will also receive guidance about your Health and Safety obligations as an employer. In evaluating the week, attendees have reported:

“Everything that was provided and taught exceeded that required and made learning easier and more enjoyable than I had expected prior to the course.”

“Some excellent information. Very good delivery brought to life by participation.”

EXEMPTIONS

No exemptions from undergoing Module 1, as outlined above, will be considered unless the applicant has trained 50 runners and 5 winners under the Rules of a recognised Turf Authority.

In exceptional circumstances, the Authority may grant exemptions from Module 2 to those who can demonstrate substantial experience and/or qualifications in the relevant areas gained in a relevant industry.

To request an exemption application form for Module 2 contact Michelle Douglas, Industry Recruitment and Training Co-ordinator, The British Horseracing Authority, 75 High Holborn, London, WC1V 6LS.

APPLICATIONS FOR ATTENDANCE AT MODULES

To make an application for a place on the Courses please contact the relevant Racing School (refer Annex C). Applications must be received at least 30 days prior to the commencement of the Module.

The Racing Schools reserve the right to cancel a Module if there are insufficient applicants to make it viable 30 days before the Module is due to start.

Detailed programmes and joining instructions are sent out two weeks before each Module starts.

COURSE FEES

Course fee rates are available from the BRS and NRC and will be published periodically in the Racing Calendar. All course fees are to be paid to the relevant Racing School concerned. The course fee is discounted for those who are registered with the British Horseracing Authority.

It is a strict requirement that the full payment of fees is received by the Racing School concerned **at least 30 days prior to the commencement of each Module** and can be made by cheque or credit/debit card. Refunds will only be made in circumstances of sickness or injury, certified by a medical practitioner.

The current fees for these courses are:

British Racing School

£875 -Includes tuition, course literature, 5 nights accommodation, meals and refreshments

£850 - Includes tuition, course literature, 4 nights accommodation, meals and refreshments

£750 - Includes tuition, course literature, lunch and refreshments (No accommodation)

Northern Racing College

£750 - tuition, course literature, lunch and refreshments (No accommodation).

Due to the close proximity to Doncaster Racecourse and Doncaster Bloodstock Sales accommodation is in plentiful supply. Details of hotels, bed and breakfasts and guest houses will be supplied by the College.

COURSE ATTENDANCE

All delegates must satisfactorily complete the full Module. Modules commence at 9.00am on Monday morning. The Racing Schools have no authority to grant leave of absence and non-attendance will be reported to the Licensing Department of the British Horseracing Authority. Certificates of attendance will be issued on satisfactory completion of the Module and details forwarded to the Licensing Department.

MODULE DATES

Module dates will be published in the Racing Calendar from time to time. Module dates currently scheduled:

Module 1: Racehorse Management

| | |
|--|-----|
| 14 th – 18 th February 2011 | BRS |
| 20 th – 24 th June | BRS |
| 19 th – 23 rd September | BRS |
| 24 th – 28 th October | NRC |
| 13 th – 17 th February 2012 (<i>Provisional</i>) | BRS |

Module 2: Business Skills

| | |
|---|-----|
| 21 st – 25 th March 2011 | BRS |
| 30 th May – 2 nd June | NRC |
| 31 st October – 4 th November | BRS |
| 26 th – 30 th March 2012 (<i>Provisional</i>) | BRS |

Module 3: Staff Management

| | |
|---|-----|
| 28 th February – 4 th March 2011 | BRS |
| 11 th – 14 th July | NRC |
| 8 th – 12 th August | BRS |
| 28 th November – 2 nd December | BRS |
| 27 th February – 2 nd March 2012 (<i>Provisional</i>) | BRS |

**WBD LEVEL 3 FOR POTENTIAL RACEHORSE TRAINERS
AND PERMIT HOLDERS**

WBD Level 3 — Racehorse Care and Management

1. Attainment of WBD Level 3 will be a different exercise for each applicant as individuals will have widely different previous experience. Many may be above the Level 3 standard and simply need advice on the precise requirement and formal assessment, while those with little previous experience may have to embark on a significant learning programme. To this end the process starts with a telephone conversation with the Racing School staff who will agree the candidate's training and assessment plans.
2. The WBD Level 3 in Racehorse Care and Management can only be taken through one of the BHEST Accredited Centres, which are the British Racing School and Northern Racing College.
3. The candidate should contact the Racing School of their choice to arrange individual training and assessment.
4. There is a distinct separation between assessment and training. If a candidate does not reach the required standard, further training will be needed. This should be discussed with the Racing School concerned. Methods of assessment include:
 - Observation of practical performance;
 - Portfolio preparation: the candidate puts together a range of employer references, witness testimonies, details of previous experience etc. This provides the assessor with solid evidence to make a judgement on competence. The responsibility for providing the evidence rests with the candidate.
 - Combination of above two, including some written questions.
5. Costs and Current Fee Levels

| | |
|--|-----------|
| Initial assessment and record of accredited prior learning | - £125.00 |
| WBD Level 3 Registration | - £161.50 |
| WBD Level 3 Manual | - £ 16.50 |

Additional training and assessment: As agreed with the Racing School

Applicants who wish to be assessed within 30 days of wishing to attend a course will attract a surcharge of £100.

The Racing Schools will not confirm assessment or training bookings until they receive a completed registration form accompanied by the required fee. The fees are not refundable.

TRAINING RACEHORSES UNDER A LICENCE OR PERMIT TO TRAIN

OUTLINE OF COURSE CONTENT

Module 1: Racehorse Management

HORSE HEALTH, including:

- Lameness, modern treatments and therapy
- Diagnostic testing
- Respiratory problems
- Viral conditions
- Ailments: cause, prevention and treatment

PURCHASE AND SELECTION OF BLOODSTOCK, including:

- Conformation

FEEDING AND NUTRITION

- Nutritional requirements of racehorses
- Anatomy and physiology of the digestive system
- Rationing

TRAINING AND FITNESS

- Horse behaviour
- Early training and education of the racehorse
- Fitness programmes
- Interval training

LICENSING AND RACECOURSE PROCEDURES, including:

- Rules of Racing
- Racing administration
- Licensing requirements
- British Horseracing Authority disciplinary procedures
- Role of National Trainers Federation
- Handicapping
- Role of the British Horseracing Authority Senior Veterinary Adviser

Module 2: Business Skills for Racehorse Trainers

TYPES OF BUSINESS including:

- Different forms of business
- Advantages and disadvantages of being a sole trader
- Business partnerships
- Private limited companies

LAW RELATING TO BUSINESS including:

- Specialist legal advisers in racing
- Basic knowledge of British legal system
- Contracts
- Liability
- Property ownership
- Legal implications of different forms of training

INSURANCE including:

- Employer's liability insurance
- Public liability insurance
- Role of specialist insurance broker

BUSINESS ADMINISTRATION including:

- Financial records
- Role of accountants
- Accounting systems
- Effect of VAT on business
- Taxation

FINANCE including:

- Role of banks and other lending institutions
- Banking services
- Lease and hire purchase agreements
- Funding for suitable premises
- Fixed and variable rates and interest rate protection
- Understand balance sheets

BUSINESS PLANNING including:

- Understand business planning
- Preparation of a business plan
- Capital expenditure and liquidity
- Annual budgets and cash flow forecasts

MARKETING

- Benefits of marketing
- Marketing plans
- Principles of acquiring and retaining owners

MEDIA SKILLS

- Dealing with the media

Module 3: Staff Management

LEADERSHIP, including:

- Leadership, the essential components
- Personal time management
- Management by objectives

EMPLOYING PEOPLE, including:

- Wage agreements
- Employment costs
- Statutory responsibilities
- Redundancy
- Maternity leave
- Disability
- Equal Opportunities
- Pensions
- Working hours
- Salaries and benefits
- Staff appraisals
- PAYE and National Insurance
- Notification of tax benefit to Inland Revenue
- Provision of P60s
- Racing Industry Accident Benefit Scheme
- NTF Employment Guide

SELECTION AND RECRUITMENT OF STAFF, including:

- Criteria for staff selection
- Preparation of advertisements for staff
- Preparation of job description
- Conducting an interview
- Requirements and implications of a contract of employment
- Rights and duties of employer and employee

HEALTH AND SAFETY, including:

- Principles of the Health and Safety at Work Act
- RIDDOR
- COSHH
- Risk assessment

STAFF TRAINING, including:

- Role and responsibilities of BHEST and BHB
- Training and qualification opportunities for staff
- Importance of staff development and measurement of performance
- National Vocational Qualifications in the Racing and Breeding Industry
- Apprentice and Conditional Training

CONTACT DETAILS

THE BRITISH RACING SCHOOL, NEWMARKET

Clare Higgins
Courses Coordinator
The British Racing School
Snailwell Road
Newmarket
Suffolk
CB8 7NU

Tel: 01638 665103
Fax: 01638 560929
Email: clare@brs.org.uk

THE NORTHERN RACING COLLEGE, DONCASTER

Michelle Bardsley
Training Coordinator
The Northern Racing College
The Stables Rossington Hall
Doncaster
South Yorkshire
DN11 0HN

Tel: 01302 861009
Fax: 01302 864 151
Email: michelle.bardsley@northernracingcollege.co.uk

APPLICATION FORM FOR A PERMIT TO TRAIN

UNDER RULE (C)4 OF THE BHA RULES OF RACING

(For the period to 30th September 2012)



OFFICE USE ONLY

| | | | | | |
|------|-------|--------|----|-----|------|
| Rec: | Fees: | Prev.: | G: | No: | Key: |
|------|-------|--------|----|-----|------|

Please read the enclosed Guidance Notes before completing the application form and answer **ALL** questions. Please do not leave any questions unanswered. If a question is not applicable insert "N/A".

PERSONAL DETAILS

Surname: _____ All Forenames: _____

Mr/Mrs/Miss/Ms: _____ Date of Birth: _____ Nationality: _____

Any previous surnames eg. Maiden name: _____

Full name of spouse / partner (if applicable): _____

Home Address _____

_____ Postcode _____

Home No _____ Fax No _____

Mobile No _____ E-mail _____

Profession, Business or Occupation _____

Name and address of Business/Employer _____

_____ Postcode _____ Tel. _____

EXPERIENCE

Please note that a copy of your full cv should accompany this application

Summary of your equine experience and past employment, with names and addresses of employers and relevant dates

Particulars of any previous licenses/permits held in Great Britain or overseas with dates and training or riding success achieved:

Details of any training successes that you have achieved either under recognised Rules or in Point-to-Point Steeplechases

| <u>DATE</u> | <u>HORSE</u> | <u>MEETING</u> | <u>RACE TYPE</u> | <u>RESULT</u> |
|-------------|--------------|----------------|------------------|---------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Particulars of any racehorses you have owned (state the years and name of Trainers involved)

QUALIFICATIONS

Please confirm your completion of the Modular Training Programme for New Trainers:

| Course | Completed | Date |
|--|--|-------------|
| WBD Level 3: Racehorse Care and Management | Yes <input type="checkbox"/> No <input type="checkbox"/> | _____ |
| Module 1: Racehorse Management | Yes <input type="checkbox"/> No <input type="checkbox"/> | _____ |
| Weatherbys Open Day | Yes <input type="checkbox"/> No <input type="checkbox"/> | _____ |

REFERENCES

COMPETENCE AND EXPERIENCE OF TRAINING RACEHORSES – please list at least two Licensed Trainers:

Name: _____ Address: _____

Name: _____ Address: _____

FINANCIAL – Name and address of your bankers:

Name: _____ Address: _____

TRAINING ESTABLISHMENT

Name and address of **STABLE YARD**: _____

Stables Tel. No _____ Number of boxes available in this yard:

Is the Stable Yard in your sole ownership? Yes No

If the answer is no, please state details of ownership and arrangements under which it is occupied together with details of any Lease or Tenancy Agreement and date of expiry. A copy of the lease or agreement (or draft copy) should accompany this application:

If your residence and the stable yard are separate, please give details of the individual living at the yard:

Name _____ Position held _____

Has the establishment previously been used as a Racing Stables? Yes No

(If so, please say by whom and the years involved. If not, say for what purpose it has been used previously)

PLANNING PERMISSION

Yes **Not at present**

Has planning permission been obtained for the construction of the Stable Yard?

If you have answered not at present, please state current position:

OTHER YARDS NOT FOR INCLUSION ON PERMIT

Name & address by which yard is known _____

No of Boxes _____

General description to which this yard is put: _____

TRAINING FACILITIES

Note: If you depend upon gallops or schooling facilities owned by someone other than yourself, written confirmation for their use from the owner must be produced annually. If applicable, please state if such authority is enclosed or to follow.

GALLOPS

If applicable, please state the names of the gallops used: _____

Please give brief description of your gallops including length, width, type of surface etc. and their situation

Do you own the main gallops? Yes No

If no, please state the name of the owner and arrangements under which they are used, (eg. leased, central facilities)

Approximate distance to be travelled from your Stable Yard to the main gallops: _____

SCHOOLING FENCES & HURDLES

Situation of schooling facilities and approximate distance from your stable yard: _____

Number of schooling fences available to you: _____

Number of flights of hurdles available to you: _____

Owner of schooling facilities used: _____

HEALTH AND SAFETY

| | Yes | Not at present |
|--|--------------------------|--------------------------|
| Name of appointed Health and Safety representative (if not you): _____ | | |
| Have you appointed one or more Health and Safety assistant(s) from your yard (or from outside) who are trained or knowledgeable about Health and Safety issues? | <input type="checkbox"/> | <input type="checkbox"/> |
| Name of current appointed Health and Safety assistant(s): _____ | | |
| If you have 5 or more employees, do you have a written Health and Safety Policy which is signed, dated and displayed? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you identified the Health and Safety hazards and assessed the risks to Health & Safety, eg. care of horses, racehorse exercise and handling, manual handling, equipment and machinery, hazardous substances, etc? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you recorded the significant findings of the risk assessment? (If you have 5 or more employees, significant risk must be recorded and brought to the notice of your employees) | <input type="checkbox"/> | <input type="checkbox"/> |
| Have your employees been given a full and detailed Health and Safety induction? | <input type="checkbox"/> | <input type="checkbox"/> |
| Do you provide suitable Personal Protective Equipment, e.g. skull caps, body protectors (as defined in your risk assessment) free of charge? | <input type="checkbox"/> | <input type="checkbox"/> |
| Do you have adequately stocked First Aid kits? | <input type="checkbox"/> | <input type="checkbox"/> |
| Do you have at least one qualified First Aider to provide cover for all times when anyone is working? | <input type="checkbox"/> | <input type="checkbox"/> |
| Name(s) _____ of _____ qualified _____ First _____ Aider(s) | | |
| Is there an Accident Book available in the yard? | <input type="checkbox"/> | <input type="checkbox"/> |
| Are you aware of the need to make reports to the HSE under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)? (Reports should also be made to the relevant Racing School in cases involving Trainees) | <input type="checkbox"/> | <input type="checkbox"/> |
| Do you have emergency arrangements in the event that a person needs hospitalisation, including arrangements for accidents that occur whilst on the training gallops? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you carried out a Fire Risk Assessment? | <input type="checkbox"/> | <input type="checkbox"/> |
| Do you display a Fire Notice with Instructions in case of fire? | <input type="checkbox"/> | <input type="checkbox"/> |
| Do you display 'NO SMOKING' signs in appropriate places? | <input type="checkbox"/> | <input type="checkbox"/> |
| Will you conduct and record fire drills? | <input type="checkbox"/> | <input type="checkbox"/> |

STAFF

| <u>Surname</u> | <u>All Forenames</u> | <u>Age</u> | <u>Relationship (if any)</u> |
|----------------|----------------------|------------|------------------------------|
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |

EMPLOYMENT OF STAFF

Do you undertake to employ your staff in accordance with such fair and reasonable terms and conditions of service which, taken as a whole, are no less favorable than the Terms and Conditions of Service agreed and established by the National Joint Council for Stable Staff (See Schedule (C)1 of the BHA Rules of Racing) for the duration of the Permit for which you are applying?

Yes No

If the answer to the above question is 'NO', full details of the terms and conditions under which you will employ your staff for the duration of the Permit for which you are applying, must accompany this application.

INSURANCE

Please provide details of your Public Insurance policy (minimum of £2 million). Is this policy:

Public Liability only

Combined Policy

Name of Insurance Company: _____

Policy Number: _____ Date of Expiry: _____

GENERAL

| | Yes | No |
|---|--------------------------|--------------------------|
| Have you ever had any disqualification or restriction imposed on you by a Racing Authority? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you ever been refused a licence or permit to train or to ride by any Racing Authority? | <input type="checkbox"/> | <input type="checkbox"/> |
| Are you actively engaged as a Bookmaker or do you have any financial interest in any betting businesses including spread betting businesses, e.g. as a shareholder or director? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you been made the subject of any proceedings of a criminal nature, been charged in connection with any alleged criminal offence or are aware of any circumstances which may lead to your being so charged? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you been the subject of any adverse findings by a judge in any civil proceedings, or have settled civil proceedings brought against you relating to Health & Safety or employment legislation? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you been made the subject of any judgement debt or court award in Great Britain or elsewhere? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you ever been declared bankrupt, been the subject of an Individual Voluntary Arrangement other statutory based composition with creditors alone? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have you been disqualified by a court from acting as a director of a company or from acting in the management or conduct of the affairs of any company within the last 10 years? | <input type="checkbox"/> | <input type="checkbox"/> |

If you have ticked 'yes' to any of the questions above, please provide full details in a separate letter for consideration by the Authority

CHECKLIST - ENCLOSURES

The following items should be submitted with this form, in support of your application. Please tick to confirm the following documentation is enclosed:

| | Yes | n/a |
|--|--------------------------|--------------------------|
| A copy of your current CV | <input type="checkbox"/> | |
| Leases or agreements (or draft copies) to occupy the training establishment and/or use the facilities | <input type="checkbox"/> | <input type="checkbox"/> |
| A cheque for £209.40 payable to 'British Horseracing Authority Limited' being the Inspection Fee | <input type="checkbox"/> | |
| A copy of photographic documentation to support your identity and associated 'Declaration to support Identity of Applicant Form' | | |

DECLARATION

The British Horseracing Authority ("BHA") undertakes to consider this application in accordance with and subject to the Rules of Racing and the criteria and procedures approved from time to time by the BHA (see attached Guidance Notes).

A person who is not a party to this application has no right under the Contracts (Rights to Third Parties) Act 1999 to enforce any term of the agreement resulting from the application.

Any information (including personal data and sensitive personal data) provided by the applicant may be held by the BHA or Weatherbys Group Ltd in their computer records, and such information may be properly disclosed to other agencies registered to receive such information in connection with the management, regulation and integrity of horseracing and otherwise used or disclosed by the BHA in connection with the regulation of horseracing generally.

Applicant's Declaration:

To the best of my knowledge and belief the foregoing particulars as completed in this Application Form are accurate and true. I have read and understood the Guidance Notes which accompany this Form. I confirm that I have disclosed any information known to me which might reasonably be said to be relevant to the consideration of my application and that I meet each criteria relevant to my application. I understand that if the Authority considers that I have knowingly omitted material information, it may reject my application. I further understand that the Authority reserves the right to factor any relevant information into the assessment of my suitability for a Permit. During the currency of my permit, I undertake to notify the BHA immediately of any matter or change of circumstance which, on the basis of the Guidance Notes, could reasonably be said to be relevant to my position as a Permitted Trainer including but not limited to, if I am convicted of any criminal offence, if I become bankrupt or insolvent, or a proposal for an Individual Voluntary Arrangement (IVA) is made against me.

I agree to be bound in all respects by the Rules of Racing, and the Rules of any recognised Turf Authority when racing horses abroad.

To the best of my knowledge, I am solvent and meeting my liabilities in connection with the training of racehorses under Rules, as and when they fall due. Save as otherwise expressly declared by me to the BHA (if applicable), I am not a party to any current litigation and, as far as I am aware, there is no litigation threatened or pending against me which may have an adverse effect on my ability to meet my commitments. As far as I am aware, there are no issues or circumstances which may adversely affect my solvency in the foreseeable future.

I agree that in addition to my statutory PAYE records, I will maintain and keep a wages book or other record in which is set out the gross amount earned and net amount paid (with details of all deductions). Those records will also include details of overtime payments made, including details of time worked away from the yard and subsistence payments, where applicable, and holiday records (including statutory holidays) each week for each member of my stable staff during the term of my permit. I agree to produce my wages books or other records referred to above if required.

I acknowledge that any inspection of my training establishment by the BHA is only for the purposes of assessing the adequacy of the training establishment and its facilities for the activity of training racehorses and that the issuance of a permit to train does not constitute any acknowledgment or indication by the BHA that it considers I have complied with the requirements of Health and Safety legislation or any other statutory requirements. I acknowledge that compliance with such legislation is a matter wholly within my own responsibility.

I agree to wear a skull cap or riding hat conforming to the current standard as laid down by the BHA under Schedule (D)2 whenever riding in the course of my work as a trainer.

I acknowledge and accept that it is the policy of the BHA to publish its licensing decisions. This includes giving reasons for the refusal of permits, the imposition of conditions on permits or the withdrawal of permits. I agree that the BHA may publish any information concerning me which it has considered in reaching such decisions.

I consent and authorise the BHA or its agents to make enquiries to, and ascertain from, all appropriate authorities whether there is anything known or shown on records which could be relevant to the decision to grant me a permit or not. Such authorities shall include, but are not limited to, credit reference agencies, Criminal Records Bureau and/or any police authority in other jurisdictions, and any Turf Authority in other jurisdictions. Further, I hereby consent to and authorise such authorities to provide such information about me to the BHA.

The British Horseracing Authority has the opportunity to use its address list as a source of revenue for the benefit of the racing industry by undertaking mailings on behalf of selected companies, individual addresses are not divulged. Please tick here if you **do not** wish to receive such mailings

Signature of Applicant: _____ **Date:** _____

PART B *

HORSES YOU INTEND TO TRAIN LATER IN THE SEASON BUT WHICH ARE CURRENTLY IN THE CARE OF A LICENSED TRAINER

| Name of Owner | Relationship | Name of Horse | Sire | Dam | Year of Foaling | Imported From |
|---|--------------|---------------|------|-----|-----------------|---------------|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| Are all the horses listed in part A) and part B) the sole property of the persons described as their owners (including part-owners) free of all lease or other joint arrangement? | | | | | | |
| | | | | | YES | NO |
| If the answer to the above question is "no", please give particulars of ownership below | | | | | | |
| | | | | | | |

* Please note a Form N1TP is not required for horses listed in Part A overleaf. However, a form N1TP must be submitted when a horse mentioned in Part B above arrives in training with you. This also applies to any other new arrival.

PARTICULARS OF ALL OTHER HORSES CURRENTLY STABLED ON YOUR PREMISES

| Name of Owner | Relationship | Name of Horse | Purpose for which kept e.g. Hack, Broodmare, Stud |
|---------------|--------------|---------------|---|
| | | | |
| | | | |
| | | | |
| | | | |

This application should be returned to The Licensing Department, British Horseracing Authority, 75 High Holborn, London, WC1V 6LS.

DECLARATION TO SUPPORT IDENTITY OF APPLICANT

**FOR A TRAINER UNDER
THE BRITISH HORSERACING AUTHORITY**

RULES OF RACING

SURNAME OF APPLICANT: _____

ALL FORENAME: _____

Declaration

I certify that to the best of my knowledge and belief, the photocopy of the passport/birth certificate (delete as appropriate) which I have signed, is an unaltered photocopy of the original. I also certify that I have known the applicant personally for at least two years.

Signature _____ Date _____

Surname: _____

Forenames: _____

Profession/Business/Occupation: _____

Business Address: _____

_____ Post Code: _____

Home Address: _____

_____ Post Code: _____

Daytime Telephone Number: _____

Mobile Telephone Number: _____

Fax Number: _____

E-mail: _____

(Individuals who certify photocopied documents may be contacted by a member of staff from the Integrity Services and Licensing Team from the British Horseracing Authority).