Channel Islands Horseracing Authority

Guide to Procedures and Penalties 2023

THE CHANNEL ISLANDS HORSERACING AUTHORITY

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GUIDE TO PROCEDURES AND PENALTIES

UNDER THE RULES OF RACING

2023

This booklet contains information on the Rules of Racing and the various procedures and charts which will be referred to at all times when deciding on the appropriate course of action either by the Stewards on the racecourse or at a Disciplinary Panel enquiry.

The booklet should not be seen as either a replacement for, or an interpretation of, the Rules of Racing. It does, however, seek to clarify and provide easy reference to a number of crucial areas which may arise during the course of a day's racing.

The guidelines as to penalties are not intended to override the discretion of the Stewards or the Disciplinary Panel under the Rules. However, in the interest of consistency and fairness, Panels are expected to operate within the guidelines unless they have good reason to consider that there are exceptional circumstances in the case before them which justifies a greater or lesser penalty outside the guidelines; Panels should be prepared to explain their reasons for so doing.

If you have any questions, or need any further advice, on the information contained in this booklet you should speak to a Chief Steward or the Head of Integrity.

RUNNING AND RIDING

RULES (B)54, (B)55, C(38) and (D)35

In order to maintain confidence in the integrity of racing it is particularly important either that questions are asked of the trainer or that an enquiry under Rule (B)54 is held when appearances suggest a horse may not have been run on its merits. Stewards should not be deterred from holding an enquiry because they consider it unlikely that they will be able to prove a breach of Rule (B)54 or (C)38. These enquiries are not time sensitive but the Chief Steward should ensure the rider and trainer are warned that they will be required to attend.

THE RULES	
(B)54	requires every horse to be run and to be seen to be run on its merits.
(B)55	details of the three cases whereby a rider can be found guilty under Rule (B)54 of not riding a horse on its merits.
(C)38	trainer's responsibilities to ensure that adequate instructions are given so as to ensure a horse is run on its merits.
(D)35	rider's responsibilities as to how a horse has to be ridden so as to ensure that it is run on its merits.

WHEN TO HOLD AN ENQUIRY

Stewards should always initiate an enquiry on the day or ask questions rather than leaving it to the Stewards officiating at a following meeting when the horse runs in deciding whether or not to hold an enquiry.

Stewards should view the recordings of the race and consider the following questions:

- **Was the horse asked for "... timely, real and substantial effort?"**

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

- **Was it ridden to obtain the best possible placing?**

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

HAVING DECIDED TO HOLD AN ENQUIRY

A series of questions should be asked of the rider and trainer to establish the reasons for the way the horse was ridden.

Under Rule (C)39 the trainer, if he is unable to attend the meeting, must authorise another person to represent him on the racecourse. This person must attend Stewards' enquiries on the trainer's behalf. He must know the riding instructions that the trainer gave to the rider, must be authorised by the trainer and must be able to inform the Stewards whether the rider has complied with such instructions. Failure by the trainer to do so will result in a breach of Rule (C)39. Furthermore, if the representative has not been made aware of the riding instructions given by the trainer, the Stewards will progress the enquiry as to whether the trainer is in breach of Rule (C)38.4 on the basis of the evidence of the rider as to what instructions were given to him.

HAS A BREACH OF THE RULES BEEN COMMITTED?

Prior to determining whether or not the rider and/or trainer are in breach of Rules (B)54 or (C)38 the Chief Steward will sum up and then ask the following questions:

- **Was the horse asked for "... timely, real and substantial effort?"**
- **Was it ridden to obtain the best possible placing?**

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

If the answer to either question remains **NO**, the rider is in breach of Rule (B)54 and the Stewards must decide under Rule (B)55 which category of offence his breach falls into.

CATEGORISING THE OFFENCE

In order to assist you in categorising the offence by the rider, the Chief Steward will ask the following questions of the Stewards (the 'Subdivision Charts' on pages 3 to 6 will assist):

1. **Did the rider fail to comply with Rule (B)55.1.2. (negligence)?**
   IF NOT
2. **Did the rider fail to comply with Rule (B)55.1.1. (intent)?**
   IF NOT
3. **It must be a failure to comply with Rule (B)55.1.3* (failure to take all reasonable and permissible measures) by the rider**.

*The line between Rules (B)55.1.1. and (B)55.1.3. can be illustrated for many cases by the example of a rider who appears to be doing the opposite of what you would expect a rider in his circumstances to be doing (Rule (B)55.1.1.) and cases where the rider is simply not doing enough (Rule (B)55.1.3).

Having decided which category the rider is in breach of, the Chief Steward will advise on penalty for rider and, if appropriate, the trainer. Previous offences are to be taken into account.

THE TRAINER

With regard to the trainer he will be liable to disciplinary action under Rule (C)38.1 if the Stewards are not satisfied that he gave adequate instructions; which is to say such instructions as are necessary to ensure that the horse runs on its merits. The trainer will also be liable to disciplinary action if the rider's breach falls into Rule (B)55.1.1. and the trainer is unable to satisfy the Stewards that the rider was given adequate instructions and that he failed to comply with them.

OTHER OPTIONS

The following other options are open to the Stewards and must be referred to in their report of the enquiry:

- Noting - all explanations
- Referral for viewing horse's previous runs
  - horse wins a Handicap or Classified Stakes without having been previously placed in the first four
  - a marked improvement in performance
  - concerns are expressed about performance last time out
- Adjourned enquiry - vital witness is not present

RECOMMENDED PENALTIES FOR BREACHES OF RULES (B)54, (B)55, C(38) and (D)35- RUNNING & RIDING FOR THE PURPOSE OF RULES (B)54, (B)55 and (C)38 THE WORD 'PLACING' MEANS ANY PLACING FROM AND INCLUDING FIRST PLACE TO LAST PLACE		
RULES (B)54 and (C)38 TRAINER'S RESPONSIBILITIES		
SUBDIVISION OF POTENTIAL OFFENCE	**Recommended Penalties for 1st Offence**	
(These are the more common examples of breaches but they are by no means exhaustive)	**ENTRY POINT**	**RANGE**
(a) Trainer fails to give adequate instructions which contributes to the rider failing to comply with Rule (B)55.1.3. Trainer in breach of Rule (C)38.1	£500	£250 - £1,000
(b) Trainer sends unfit or unschooled horse to the racecourse	£1,000	£500 - £1,500

Rule (C)38.3. Rider unlikely to fall within either Rule (B)55.1.1. or (B)55.1.3.		
(c) Rider fails to comply with Rule (B)55.1.1. Trainer in breach of Rule (B)54 / (C)38.4	See pages 4 and 5	

Second offence:
Two findings of Rule (C)38.1 (sub: (a)) within 12 months - deal with on racecourse but penalty should generally be double that for a 1st Offence
Two findings of Rule (C)38.1 (sub: (a)) between 12 - 24 months - deal with on racecourse but penalty should generally be higher than that for a 1st Offence.

Rule (C)38.3 (sub: (b)) - as above

RULE (B)54 NEGLIGENCE BY RIDER (CATEGORY OF OFFENCE – RULE (B)55.1.2.				
SUBDIVISION OF RULE	**Recommended Penalties**			
	1st Offence		**2nd Offence**	
55.1.2.2.1. failed to ride out approaching the finish on a horse that would have been placed				
Place not obtained – first	10 days, if wilful refer		refer	
Place not obtained – second/third	4 days		8 days*	
Place not obtained – fourth or any other placing for which there is prize money	1 day		2 days*	
*If dead heat reduce by half.				
	ENTRY POINT	**RANGE**	**ENTRY POINT**	**RANGE**
55.1.2.2.2. mistook the race distance and either began riding a finish too early or failed to ride a finish	6 days	4-8 days	12 days	10-20 days
55.1.2.2.3. took the wrong course, or	6 days	4-8 days	12 days	10-20 days
55.1.2.2.4. asked for an effort or made some other permissible manoeuvre too late as a result of serious misjudgement or inattention.	4 days	2-8 days	8 days	6-14 days

RULE (B)54 INTENTIONALLY NOT RUNNING A HORSE ON ITS MERITS (CATEGORY – RULE (B)55.1.1.) – DISCIPLINARY PANEL		
In all cases where the racecourse Stewards consider that a horse has been intentionally not run on its merits the matter should be referred to the Authority's Office and the **horse suspended for 40 days.**		
SUBDIVISION OF POTENTIAL OFFENCE	**ENTRY POINT**	**RANGE**
Intentionally not riding a horse on its merits for personal reward	4 years Rider/trainer/owner Disqualify	2 – 15 years
Intentionally not riding a horse on its merits that would have won	1 year Rider/trainer/owner Disqualify/Withdraw	6 months – 2 years
Intentionally not riding a horse on its merits that would have finished second or third	6 months Rider/trainer/owner Disqualify/Suspend/Withdraw	3 months – 1 year
Intentionally not riding a horse on its merits that would not have finished first, second or third	30 days (rider) £4,000 (trainer/owner)	10 – 50 days £2,000 - £8,000 Suspend 1 month – 2 months
Examples	Horse being intentionally restrained	
	Horse intentionally not being asked for sufficient effort	

	Horse which appears capable of reaching challenging position being intentionally never asked to do so. (This list is not exhaustive)		
Second Offence	Two breaches of 'Intentionally Not Running A Horse On Its Merits' (Rule (B)55.1.1. within 36 months	6 months Rider/trainer Disqualify/Suspend/Withdraw	3 months – 2 years

Penalties for both a 1st and 2nd offence should also take into account any other previous breaches of 'Failure to Take All Reasonable and Permissible Measures' (Rule (B)55.1.3.) and 'Schooling And Conditioning' (Rule (B)55.1.1.) in previous 24 months. The use of inexperienced riders should always be taken as an aggravating feature when considering a breach of 'Intentionally Not Running A Horse On Its Merits' (Rule (B)55.1.1.).

RULE (B)54 SCHOOLING AND CONDITIONING (CATEGORY – RULE (B)55.1.1.) – RACECOURSE STEWARDS		
To be dealt with by racecourse Stewards but cognisance to be given to previous breaches of 'Failure to Take All Reasonable and Permissible Measures' (Rule (B)55.1.3.), 'Schooling And Conditioning' (Rule (B)55.1.1.) and 'Intentionally Not Running A Horse On Its Merits' (Rule (B)55.1.1. by respective rider and trainer in previous 24 months.		
SUBDIVISION OF POTENTIAL OFFENCE	**ENTRY POINT**	**RANGE**
	Racecourse Stewards	
Using the racecourse as a training ground Examples: First time out in a Flat or Jump Race Returning after a lengthy absence Confidence restoring run Educating or assessing horse after previous run (This list is not exhaustive)	7 days (rider) £1,000 (trainer) Horse suspended for 40 days	5 - 10 days £500 – £2,000
Second Offence: Penalty for two breaches within 12 months should generally be double that for a 1st Offence. Penalty for two breaches within 24 months should generally be higher than that for a 1st Offence.		
Third Offence: Three offences within 24 months – refer to Disciplinary Panel	**Disciplinary Panel**	
	30 days (rider) £5,000 (trainer) and/or restriction on entries and running horses – 21 days	20 – 40 days £3,000 - £8,000 and/or 14 – 42 days
Intentionally not riding a horse on its merits that would not have finished first, second or third	30 days (rider) £4,000 (trainer/owner)	10 – 50 days £2,000 - £8,000 Suspend 1 month – 2 months

RULE (B)54 FAILURE TO TAKE ALL REASONABLE AND PERMISSABLE MEASURES (CATEGORY – RULE (B)55.1.3.)		
SUBDIVISION OF POTENTIAL OFFENCE	**ENTRY POINT**	**RANGE**
Rider fails to take all reasonable and permissible measures throughout a race	5 days	3 – 7 days
Second Offence: Penalty for two breaches within 12 months should generally be double that for a 1st Offence. **Third Offence:** Penalty for three breaches within 24 months - refer		
Failing to ride out a horse which could have won	5 days	-

	2nd Offence – 10 days 3rd Offence - refer	
Failing to ride out a horse which could have finished second or third	3 days 2nd Offence – 6 days 3rd Offence – 12 days	-
Rider demonstrates an acceptable degree of effort during the race until prematurely easing his horse, which would never have finished in the first three or any other placing for which there is prize money but is allowed to coast home with no assistance from the rider	1st offence caution 2nd Offence – 1 day 3rd Offence – 1 day 4th Offence – 3 days 5th Offence - refer	-

INTERFERANCE IN RACES

RULES (B)49 – (B)51

INTERFERANCE PROCEDURE TO BE FOLLOWED AFTER HEARING EVIDENCE

After the riders have left the room, the Chairman or Chief Steward will ask the following questions of the Panel:

- **Was there interference?**

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

- **Who caused it?**

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

THE CHIEF STEWARD WILL SUM UP

It should then be established whether the interference was **serious** by asking the following question:

- **Was the nature of the incident such as to place in serious jeopardy the safety of any horse or rider?**

If **YES**, the Chairman or Chief Steward should start at the top category and work down the left-hand side (the 'definitions') bearing in mind that a decision should be reached on the balance of probabilities and if the Panel is having difficulty reaching agreement he will move on to the next category. The Panel should only refer to the right- hand side (the 'examples') after agreement has been reached on the category of interference.

If **NO**, the Panel should consider the placings by proceeding to the section headed 'Determining the Result Following Interference' on pages 10 and 11 before returning to Careless Riding.

CATEGORY AND DEFINITION	EXAMPLES
1. FOR DANGEROUS RIDING THE RIDER MUST CAUSE SERIOUS INTERFERENCE. SERIOUS INTERFERENCE IS WHEN ITERFERENCE CAUSES A HORSE AND/OR RIDER TO FALL OR VERY NEARLY FALL OR THE HORSE IS HAMPERED E.G. UP AGAINST THE RUNNING RAIL, OR IS PUSHED OR NEARLY PUSHED OFF COURSE.	
WAS IT DANGEROUS RIDING? **A rider is guilty of Dangerous Riding** if he causes serious interference by: **(a) purposely interfering with another horse or rider; or** **(b) riding in a way that is far below that of a competent and careful rider and where it would be obvious to such a competent and careful rider that riding in that way was likely to endanger the safety of a horse or rider.**	**RIDER CAUSES SERIOUS INTERFERENCE BY:** (a) Riding across to prevent a horse from going 'up the inner'. (b) Attempting to force a horse off the track e.g. at the wing of a Hurdle. (c) Deliberately barging his way between two horses. (d) Persistently attempting to get past any horse when there is insufficient room. (e) Failing for a sustained period of time to take corrective action. (f) Intentionally striking another horse or rider. (g) Manoeuvring/changing direction, suddenly or gradually (particularly onto the rail).
If the rider is guilty of Dangerous Riding the horse MUST BE DISQUALIFIED.	
Advice to Stewards There are two parts to Dangerous Riding. Firstly, there has to be serious interference but this is not enough on its own to warrant a breach of Dangerous Riding - serious interference can be caused by Careless or Improper Riding or can even be Accidental. The second part relates to the culpability of the rider in terms of his riding - see 1a) and b) and the examples a) to g) in the righthand column.	
IF YOU ARE SATISFIED THAT THE INTERFERENCE IS NOT DANGEROUS YOU SHOULD PROCEED TO THE SECTION HEADED 'DETERMINING THE RESULT FOLLOWING INTERFERENCE' ON PAGES 10 AND 11 TO DETERMINE WHETHER THE PLACINGS NEED TO BE ALTERED. HAVING COME TO A DECISION ON PLACINGS, WHICH SHOULD BE IMMEDIATELY ANNOUNCED, YOU SHOULD REVERT BACK TO DECIDE ON THE CATEGORY OF INTERFERENCE.	
2. FOR CARELESS RIDING THE RIDER USUALLY CAUSES INTERFERENCE BY FAILING TO TAKE CORRECTIVE ACTION OR BY MISJUDGEMENT.	
WAS IT CARELESS RIDING? **A rider is guilty of Careless Riding if he fails to take reasonable steps to avoid causing interference or causes interference by inattention or misjudgement.**	**RIDER CAUSES SERIOUS INTERFERENCE BY:** (a) Horse drifts into another without rider straightening it up, either by switching his whip, or, if that is insufficient, by using his reins. (b) Horse hangs into the whip but the rider does not take sufficient action to straighten it up. (c) Horse hangs in on bend without rider taking any action. (d) Rider changes direction causing interference due to a misjudgement. (e) Rider unintentionally strikes another horse or rider but should have moderated his use of the whip because of the close proximity of another horse or rider.* * see page 20 - striking horses or riders with whip.

Demotion only occurs if the horse causing the interference has improved its placing as a result of that interference.	
3. FOR IMPROPER RIDING THE RIDER USUALLY CAUSES INTERFERENCE BY CARRYING OUT A MANOEUVRE OR STRIKING ANOTHER HORSE OR RIDER.	
WAS IT IMPROPER RIDING? A rider is guilty of Improper Riding if he causes interference by some manoeuvre where he knew or ought reasonably to have known that interference would be the result, or any other form of misconduct (whether mounted or dismounted) in the course of riding.	**RIDER CAUSES SERIOUS INTERFERENCE BY:** (a) Horse drifts into another without rider straightening it up, either by switching his whip, or, if that is insufficient, by using his reins. (b) Rider manoeuvres or changes direction, where it was obvious that it would cause another rider to be moved off his intended line or to take evasive action. (c) Rider pushes through, thereby creating a gap or widening an existing gap which never looked like being big enough. (d) Rider moves across to the rails at the start causing interference. (e) Rider intentionally rides across to cause interference. (f) Rider intentionally strikes another horse or rider* (g) Rider intentionally attempts to interfere with or strike another horse or rider with his whip* * see page 20 - striking horses or riders with whip.
4. FOR ACCIDENTAL THE RIDER WILL HAVE BEEN TAKING REASONABLE STEPS TO PREVENT THE INTERFERENCE FROM OCCURRING OR THE INTERFERENCE WILL HAVE BEEN DUE TO CIRCUMSTANCES BEYOND THE RIDER'S CONTROL.	
WHAT IS ACCIDENTAL?	**RIDER CAUSES SERIOUS INTERFERENCE BY:** (a) Horse hangs without warning. (b) Horse continues to hang despite rider's best efforts to prevent it. (c) Horse runs down an obstacle without warning
The interference can probably be regarded as accidental but the following must still be asked: • **Was the rider taking reasonable steps to prevent the interference from occurring?** • **Was the interference due to circumstances beyond the rider's control?** If the answer to both questions is **NO**, probably a riding offence has been committed and therefore go back to question 2. If the answer to either question is **YES**, the interference must be regarded as accidental.	
Demotion only occurs if the horse causing the interference has improved its placing as a result of that interference.	
NOTE: It should be remembered that being taken off one's intended line (intimidation) constitutes interference. It follows that there does not have to be physical contact for interference to occur.	
To conclude the enquiry the Chairman must complete the Aide Memoire and read it out to the riders.	

DETERMINING THE RESULT FOLLOWING INTERFERENCE

One of the most difficult and contentious decisions a Panel has to make is to determine the result following interference. If the Panel considers that interference might have affected the result i.e. the interferer might have improved his placing as a result of the interference, an enquiry must be called under Rule (B)11.6 which has the effect of delaying the weighed-in signal until the Panel has come to its conclusion.

THE STEWARDS HAVE TO DECIDE WHETHER THE SUFFERER WOULD HAVE BEATEN THE INTERFERER BUT FOR THE INTERFERENCE.

There are a series of factors to take into account. The questions (below) and Guiding Principles (opposite) provide a framework within which the Panel work in order to come to their decision. They do not provide the answer but try to ensure that the Panel addresses the correct questions when making a decision.

The Panel should ask themselves the following questions, being mindful of the relevant Guiding Principles:

1. **Where did the incident take place in relation to the winning post?**

2. **How were the horses involved in the interference going at the time of the incident?**

3. **How serious was the interference i.e. how much momentum did the sufferer lose and/or how much ground was lost?**

4. **If the sufferer had had an uninterrupted run to the line, might it have finished in front of the interferer?**

   If NO - order placings to remain unaltered
   If YES i.e. there is some doubt - proceed to question 5.

5. **How easily did the interferer beat the sufferer?**

Having considered those factors relevant to the incident in question, if the Panel is satisfied that on the balance of probabilities the interference did improve the placing of the interferer in relation to the sufferer(s), the placings must be altered. Otherwise, the placings must remain unaltered. **Generally speaking, the longer the Panel discusses whether the placings should be altered, the less likely it is that they should be. If the Panel is unable to conclude one way or the other, the result should stand.**

After reaching a decision on placings, which should be announced immediately, turn back to Careless Riding in order to continue your deliberations on the category of Interference.

Remember: in amending the placings you are demoting the interferer not promoting the sufferer.

GUIDING PRINCIPLES

1. Dangerous Riding - the placing(s) must be altered as the interferer must be disqualified.

2. Careless, Improper or Accidental - if the Panel is satisfied that the interference improved the placing of the horse causing it, the placings must be altered.

3. Where more than one horse is interfered with either in turn as a result of the same occurrence or simultaneously, each is a separate incident by the horse causing the original interference for which separate placing assessments are to be made.

4. The benefit of doubt should go to the horse which finished in front.

5. The Panel should have in mind that interference is likely to have impeded the sufferer to some degree and therefore a reversal of placings is more likely to follow where there is only a nose between the horses.

6. The further away from the winning post that the incident occurs, the less likely it is that the result should be changed.

7. The Panel must make allowance for the momentum and ground lost by the sufferer by imagining that it had an uninterrupted run to the line.

8. The Panel must NOT make an allowance for any effect on the horse causing the interference.

9. The Panel must take into account the ease with which the interferer beat the sufferer.

10. If a horse is carried off its intended line, the effect will vary depending on the distance from the winning post.

GUIDE TO PENALTIES FOR RIDING OFFENCES

The final matter which needs to be considered is the question of appropriate penalty. The following penalty ranges are those recommended by the CIHA. In the interest of consistency, and using the respective guidance notes, the Chief Stewards will give further advice on the appropriate penalty within the range given for each offence. The level of penalty should be entirely dependent on the actual offence and **previous offences must not be taken into account.**

Offence	Recommended Penalty
Dangerous Riding	14 – 28 days or refer
Careless Riding	Caution or 2 – 14 days
Improper Riding	1 – 21 days
Misuse of the Whip (Classified as improper riding – an offence under Schedule (B)6 Part 2	1 – 20 days or refer

For further guidance on penalties see pages 14 and 15.

EFFECTIVE DAYS FOR RIDING SUSPENSIONS

To establish the days when the suspension applies reference should be made to Schedule (B)1 of the Rules of Racing, which are, in summary:

A riding suspension shall begin at the start of the day of the next race meeting to be held in the Channel Islands; or if the suspension is imposed at or after the last scheduled race meeting of the calendar year in the Channel Islands, at the start of the 14th day after the day of the Stewards' decision.

NOTES ON PENALTIES FOR INTERFERENCE OFFENCES

1. If in the opinion of the Stewards an Interference offence warrants a suspension of more than 28 days the matter should always be referred to the Disciplinary Panel.

2. The level of penalty for Interference breaches should be dependent on the actual offence and previous offences should not be taken into account.

3. Subject to Paragraph 7, a rolling 6 month period will apply for totting up Interference suspensions, the relevant dates being the dates on which a finding of a breach was first made.

4. A rider should be referred to the Disciplinary Panel on the second occasion during the previous 12 months that he is found guilty of Dangerous Riding.

5. If a rider is found to have committed a riding offence involving Interference and it warrants a suspension and he has already been suspended from riding for a total of 20 days or more for Interference within the previous 6 months he should be referred to the Disciplinary Panel.*

6. After a rider has appeared before the Disciplinary Panel following a referral under Paragraphs 4 or 5 above and has been suspended, all offences prior to and including the offence for which the rider was referred are not to be taken into consideration for totting up purposes.

7. Suspensions imposed by the Disciplinary Panel as a result of an appeal, referral or a case instigated by the CIHA are to be included in the number of days suspended during the previous 6 months. However, if the rider has already been suspended for 20 days or more the Disciplinary Panel will take this into account when imposing a penalty after which that suspension and all previous suspensions will not be taken into consideration for totting up purposes.

* The Disciplinary Panel will usually impose a suspension of between 10 and 28 days with an entry point of 14 days for the accumulation of days suspended plus a period of suspension for the offence. Part of the suspension may be deferred for a period not exceeding 6 months but it will take effect in the event of the rider being further suspended during the said period. The said period will not commence until after the suspension from the 'totting up' enquiry has been served.

When a deferred suspension is activated it shall commence immediately after the conclusion of the suspension on days applicable to the rider.

The deferred part of the suspension will not count towards the total number of days suspended during the current rolling 6 month period.

INTERFERENCE – PENALTY GUIDELINES

Penalties should always reflect the effect and the cause of the interference i.e. the effect and the standard of riding. **Penalties should rise as the seriousness of the interference increases.**

To assist in maintaining a consistent approach to penalty the following guidelines are given for each of the three categories of Interference:

DANGEROUS RIDING

Rider intentionally makes contact with another horse and/or rider resulting in serious interference. Rider intentionally interferes with another horse and/or rider resulting in serious interference. Rider causes serious interference as a result of steering a course or carrying out a manoeuvre when it should have been obvious to the rider that interference would result.	14 – 28 days or refer
Rider intentionally pushes another horse and/or rider off course, including but not limited to through or around the wing of an obstacle, or through or outside the running rail.	28 days or refer

CARELESS RIDING

Minimal interference, due to misjudgement or inattention, which results in the sufferer having to take a slight check or horse being shifted slightly off its line.	Caution
Increased interference, due to misjudgement, inattention or failing to take corrective action, which results in the sufferer having to take a check or the horse being shifted notably off its line.	2 – 4 days
Rider allows horse to hang or drift which results in considerable interference Rider causes considerable interference by allowing horse to interfere with another horse(s) over a considerable length of time, especially when preventing the sufferer from riding a finish.	5 – 14 days
If rider strikes or attempts to strike another horse or rider.	Refer to page 20

IMPROPER RIDING

Rider carries out a manoeuvre and causes minimal interference - where it ought to have been obvious to the rider that interference would result.	4 – 5 days

Rider carries out a manoeuvre and causes increased interference - where it ought to have been obvious to the rider that interference would result.	6 – 10 days
Rider carries out a manoeuvre and causes considerable interference - where it ought to have been obvious to the rider that interference would result.	11 – 21 days
If rider strikes or attempts to strike another horse or rider.	Refer to page 20

NOTES TO PENALTY GUIDELINES

1. In judging the effect, the Panel should take into consideration the overall effect on the sufferer which includes:

    - **the degree of danger e.g. squeezed up against the rails**;
    - **the loss of opportunity to challenge for prize money** e.g. chance of challenging effectively destroyed;
    - **the loss of prize money** e.g. sufferer comes third but would have been second but for the interference.

    It is important that all these aspects of the effect on the sufferer(s) are taken into account when deciding on penalty - one or other of the above 'effects' should increase the penalty by one or even two days.

2. Penalty should increase when:

    - the horse hangs or drifts for a long period when it ought to have been obvious that, uncorrected, interference would result;
    - the rider is coming from behind and able to assess what is in front of him.

3. Indirect ('knock on') interference should be taken into account when assessing the level of penalty unless you are certain that the indirect interference was not reasonably foreseeable.

4. When a rider is brought down the Panel should start in 'considerable' with an entry penalty off the bottom. Actual injuries sustained by a fallen horse or rider should not be taken into account, the fall is enough.

5. It is impossible to cover every eventuality and therefore the level of penalty should be varied to suit the circumstances.

IMPROPER RIDING
SCHEDULE B(6) PART 2 AND RULE 50.2

Improper Riding also includes cases of misuse of the whip (Schedule (B)6 Part 2), and other forms of misconduct by the rider, whether mounted or dismounted (Rule (B)50.2).

The CIHA remains totally committed to preventing any abuse of horses through improper or unacceptable use of the whip. Stewards may hold an enquiry into any case where, taking into consideration the guidelines on pages 16 and 17, the rider appears to have misused his whip or the rider has used his whip in any way as to cause them concern.

Veterinary Officers will inspect horses after a race and if a horse is wealed it will be reported to the Stewards.

GUIDANCE ON USE OF THE WHIP

In assessing a rider's use of the whip the Stewards should always remember that the whip should be used for safety and encouragement. Whilst there is a requirement for all riders to carry a whip, there is no obligation on riders using their whip.

- Any use of the whip by a rider must be appropriate, proportionate, professional, and take account of the Rules and these Guidelines.
- The whip may be used to encourage a horse and to maintain its focus and concentration.
- The stimulus provided by the use of the whip must be limited so as not to compromise the welfare of the horse.
- All riders must use an approved whip.

Riders should consider the following factors so as to minimise any possibility of being found in breach of the Rules:

1. Urging the horse to lengthen its stride and increase its pace by first using hands and heels before picking up the whip;
2. Giving consideration to how much of the race is still left to run before starting to use the whip;
3. Showing the horse the whip and giving it time to respond before using it;
4. Having used the whip, giving the horse a chance to respond before using it again;
5. Using the whip in rhythm with the horse's stride and close to its side.

WHEN TO HOLD AN ENQUIRY - SCHEDULE (B)6 Part 2

The Stewards should hold an enquiry if a rider has:

1. Used his whip 6 times or more in a Flat race or 7 times or more in a Jump race.

2. Misused his whip taking into consideration the guidelines on pages 19 and 20.

When deciding whether or not to hold an enquiry Stewards should consider how the rider has used the whip during the course of the entire race, with particular attention to its use in the closing stages, and relevant factors such as:

1. The manner in which the whip was used, including the degree of force;
2. The purpose for which the whip was used;
3. The distance over which the whip was used and whether the number of times it was used was reasonable and necessary;
4. Whether the horse was continuing to respond.

The Stewards may only choose to disregard occasions when the whip has been used in exceptional circumstances where individual strike(s) have been used clearly and unequivocally for safety purposes. For example, where a horse continues to hang significantly despite the rider having visibly attempted to straighten their mount with the reins or in order to prevent a horse from running out.

Where individual strikes have been found to be clearly and unequivocally for safety purposes only, they will be discounted.

Refer to pages 19 and 20 for guidance on the appropriate penalty for the rider.

Disqualification

If a rider has used the whip 10 times or more in a Flat race or 11 times or more in Jumps race then that horse must be disqualified.

NOTES ON PENALTIES - SCHEDULE (B)6 PART 2

1. Having found the rider in breach, the Stewards must decide on the level of penalty for the offence.

2. Previous offences are not to be taken into account by the Stewards when deciding on the level of penalty.

3. Offences which incur a suspension of 2 - 6 days are to be treated separately from those offences that incur a suspension of 7 days or more.

4. Having decided on a penalty, the Stewards should then establish if the rider has committed previous breaches and if it is the rider's:
   - Third suspension of 2 - 6 days within the previous 6 months – refer
   - Second suspension of 7 days or more within the previous 6 months – refer

5. When checking previous whip offences for referral purposes, the relevant date is the date on which a finding of a breach was first made.

6. After a rider has appeared before the Disciplinary Panel following a referral under paragraph 4 and has been suspended, all offences in the band prior to and including the offence for which the rider was referred should not be taken into account when calculating the number of subsequent offences.

7. If in the opinion of the Stewards a whip offence warrants a suspension of more than 20 days the matter should be referred to the Disciplinary Panel.

8. The Disciplinary Panel will usually impose a suspension of:

   Third suspension of 2 - 6 days within previous 6 months
   14 – 42 days suspension with an entry point of 21 days.

   Second suspension of 7 days or more within previous 6 months
   2 months – 6 months suspension with an entry point of 3 months.

9. Part of the suspension may be deferred for a period of between 42 days and 4 months, but it will take effect in the event of the rider being further suspended for a breach of Schedule (B)6 Part 2 during the said period. The said period will not commence until after the suspension for the offences has been served.

   The entry point for a deferred suspension is 1 months for a third suspension of 2 - 6 days and 2 months for a second suspension of 7 days or more.

   The number of days of the suspension that should be deferred is 1⁄3 (fractions of days will be rounded down). When a deferred suspension is activated it will commence immediately after the conclusion of the suspension on days applicable to the rider.

PENALTY GUIDELINES – SCHEDULE B(6) PART 2

These are Guidelines and do not provide an exhaustive list of offences, or circumstances, whereby a rider's use of the whip may be considered improper.

Schedule (B)6 Part 2 - USE OF THE WHIP (Examples of misuse)	Use of the Whip which amount a to a **BREACH**	Minimum penalty - days
Arm above shoulder height	1	2
Without regard to stride (rat - tat - tat)	1	2
Excessive force	1	3
Without time to respond	2	2
Showing no response	2	3
Out of contention	2	3
Clearly winning (or other placing)	2	2
Past the post	2	2
Incorrect place	1	2
Use of whip for encouragement down the shoulder in the forehand	1	2
Excessive use of the whip down the shoulder in the backhand position for encouragement with hands on the reins	N/A	1

Frequency - uses above the permitted level for frequency: 6 times in a Flat race or 7 times in a Jump race.		
Flat	1	1
	2	3
	3	5
	4	14 and horse disqualified
	5	28 and horse disqualified
Jump	1	1
	2	3
	3	5
	4	14 and horse disqualified
	5	28 and horse disqualified

If the finding is a breach of one example, the Stewards should refer to the respective example and its corresponding penalty (as above) and then add a further 3 days for each use thereafter.

If the finding is a breach of more than one example, the Stewards should impose a single suspension to take account of all of the individual breaches. In calculating such a suspension the Stewards should start by looking at 'frequency' and then add on further days to reflect any other breaches - normally, following a finding of 'frequency', where the number of occasions the whip has been used has already been taken into account, it is not necessary to increase any other penalty similarly e.g. 8 times in a flat race (2 days: frequency) of which 4 were without time to respond (2 days: no time to respond) totals a 4-day suspension; 11 times in a jump race (7 days: frequency) of which 3 were in the incorrect place (2 days: incorrect place) totals a 9-day suspension.

If a rider is in breach of Rule (B)50.2 for Improper Riding in respect of use of the whip and furthermore has wealed his horse, this should be treated as an aggravating feature, and an additional penalty should be added, as set out below:

- Minor Weal 5 days

- Moderate Weal 8 days
- Severe Weal 14 days

If the horse is injured the case should be referred.

If a rider is in breach of other aspects of Rule (B)50.2 and furthermore has wealed the horse, this shall be treated as an aggravating feature, and an additional penalty will be added, as set out above.

In considering whether a horse has been wealed, and whether that weal is minor, moderate or an injury, the Stewards should have regard to the opinion of the Veterinary Officer.

PENALTY GUIDELINES – RULE (B)50.2

Rule (B)50.2 - Examples of Improper Riding which are not breaches of Schedule (B)6 Part 2. (This list is not exhaustive)	
Jabbing the horse in the mouth, kicking or striking the horse in any way when not mounted, or any behaviour towards the horse whether mounted or not which the Stewards consider to be unacceptable.	1 – 5 days

STRIKING OR ATTEMPTING TO STRIKE OTHER HORSES OR RIDERS WITH A WHIP

Rider accidentally strikes another horse or rider with his whip causing interference.	Accidental Interference	
Rider unintentionally strikes another horse or rider causing some interference but should have moderated his use of the whip because of the close proximity of another horse or rider.	Careless Riding	2 – 4 days
Rider attempts to strike another horse or rider with his whip.	Improper Riding	4 – 7 days
Rider intentionally strikes another horse or rider with his whip.	Improper Riding	7 – 10 days

NOTE: If a rider hits another horse only once in a finish and the Panel consider that the rider is unlikely to have known that the horse was within striking range, more often than not it is likely to be categorised as Accidental Interference.

OFFENCES CONSIDERED BY RACECOURSE STEWARDS AND BY THE DISCIPLINARY PANEL ON APPEAL FROM THE RACECOURSE

1. A Panel has the power at their discretion to impose any one or more of the following penalties:

   (i) Fine - not exceeding £2,500.
   (ii) Suspend a rider from riding for any period up to and including 42 days.
   (iii) Suspend a horse from running for a period of 40 days if a finding of a breach of Rule (B)55.1.1. and Rule (C)38.4.3 is made.
   (iv) Refer any possible breach from the racecourse to the CIHA.

2. A list of common offences and the penalties recommended by the CIHA are set out below. Penalties are shown in 'Bands' indicating different levels of appropriate penalty.

	1st Offence	2nd Offence	3rd Offence	4th Offence
BAND A	£75	£150	£300	refer
BAND B	£120	£240	£480	refer
BAND C	£250	£500	£1,000	refer
BAND D	£500	£1,000	refer	

3. Other penalties are shown as either a single fixed sum or as an 'Entry Point' within a 'Range'. A Panel should start their penalty deliberations at the 'Entry Point' and, dependent on the circumstances, reduce the sanction to take account of mitigating factors or increase the sanction to take account of aggravating factors.

4. When determining whether an offence is a second or further offence a rolling 12 month period will apply, the relevant date being the date on which a finding of a breach was first made. The exceptions being Rules (A)25, (B)54, (B)55.1.2, (B)55.1.3 and (C)38, where a rolling 24 months will apply.

5. When a second offence of the same description is committed within 12 months and no recommendation is made, the fine/suspension for the second offence should usually be double that of a first offence.

6. All previous offences within the previous 12 months, other than those involving interference or misuse of the whip, should be taken into account, notwithstanding that an offender may have been referred for a previous offence.

7. Where no 'Range' is provided for the offence, the recommended 'Entry Point' is a fixed penalty. A Panel should impose this sanction in all cases unless exceptional circumstances are found.

8. In all other cases, the Panel has the discretion to impose a sanction which is outside the 'Range' where exceptional circumstances are found. The Panel should provide reasons for imposing a sanction which is outside of the 'Range' or fixed penalty.

9. Amateur Riders should be treated as full jockeys.

RECOMMENDED PENALTIES FOR OFFENCES CONSIDERED BY RACECOURSE STEWARDS

Manual	Other Manuals related to	Offence	Band or Entry Point	Range
(A)24.2		Misleading the Stewards	£1,500	£500 - £2,500 or refer
(A)24.2		Giving deliberately misleading evidence at an enquiry*		
*Stewards should not hold enquiries concerning evidence given to them at an enquiry. If they suspect there has been an attempt deliberately to mislead them, they should formally express their concerns at the conclusion of the enquiry and refer the matter.				
(A)25.1		(a) Violent or Improper conduct towards Stewards or Officials		
		(i) Abusive behaviour (verbal only)	4 days (rider) £500 (trainer)	1 – 21 days £100 - £2,500
		(ii) Threatening behaviour (verbal, physical gestures)	21 days (rider) £1,500 (trainer)	14 – 42 days £1,000 - £2,500
		(iii) Violent conduct (physical contact)	refer	
		(b) Violent or Improper conduct between riders/ trainers	4 days (rider) £500 (trainer)	1 – 21 days £100 - £2,500
(A)25.1		Misuse of badges		
		(a) Rider/trainer who allows an unauthorised person to use his badge on a racecourse	C	
		(b) Person who uses a rider's/trainer's badge on the racecourse to which he is not entitled*	C	
* Can only be fined on racecourse if agrees to be bound by Rules. If he does not he must be referred because only the Disciplinary Panel are empowered to deal with such persons. Furthermore, the only penalty that can be imposed is exclusion from all racecourses under Rule (A)57.				
(A)25.1		Ignoring veterinary surgeon's instructions and riding a lame horse back from the start	21 days	14 – 28 days
(A)32		Sponsorship		
		1st - 3rd offence 4th onwards	Warn A	
		Deliberate	refer	
(B)23.5		Failure to declare correct information on declaration sheet	A	
(B)25.5		Declared rider not present on instructions of trainer/owner	C	
(B)27.14		Horse late in parade ring	A	
(B)28		Failure to comply with	A	

		parade ring protocol		
(B)28.1		Late arrival of rider in parade ring	A	
(B)29.1		Failure to ride past the Judge	B	
(B)33.6		Jumping a preliminary jump	C	
(B)34.3	(B)42.4	Using a whip at the start	B	
(B)36.1		Rider late to the start		
		1st - 4th offence (same penalty)	1 day	
		5th offence	refer	
(B)39.5	(B)39.6	Failure to obey recall flag	B	
(B)41.1	Schedule (B)5	Unruly behaviour of horse		
		1st occasion before Stewards	Warning	
		2nd occasion	Warning	
		3rd occasion	refer	
(B)42.4	Schedule (B)5 Part 2	Misconduct by trainer/ representative at the start	B	
		Remount		
(B)43.2	(B)43.3	- in race	4 days	
		- on way to start (fail to report)	2 days	
(B)43.4		Complete the course with other runners, having pulled up	4 days	
(B)45.1		Rider ignores red flag	10 days	
(B)46.1	(B)47	Rider ignores the direction cones	Disqualify horse 10 days	
(B)47.1	(B)47.3	Rider fails to pull up having knowingly taken the wrong course	Disqualify horse 3 days (additional penalty for taking the wrong course)	1 – 10 days
(B)49	Schedule (B)6	Interference (Dangerous Riding)	See page 14	
(B)50	Schedule (B)6	Interference (Careless & Improper)	See pages 14 and 15	
(B)50		Whip - Improper Riding		
		(a) Misuse of the whip	See page 19	
		(b) Hitting another rider deliberately with the whip	See page 20	
(B)53.1		Rider makes a manoeuvre to allow another horse a clear run		
		(a) but causes no interference	7 days	5 – 10 days
		(b) and fails to achieve his best possible placing	14 days	7 -21 days
(B)53.1		Rider intentionally interferes with a horse to assist another horse in the race	21 days	10 – 28 days
		Rider causes interference as a result of moving off	10 days	7 – 14 days

		his racing line to assist another horse in the race		
(B)53.3		Trainer instructs rider to breach Rule (B)53.1	£1,150	£1,000 - £2,500
(B)54	(B)55 (C)38 (D)35	Horse not running on its merits (Any placing from and including first to last)	See pages 3 - 6	
(B)54	(B)55.1.2	Taking the wrong course	See page 4	
(B)54	(B)55.1.3	Rider pulls up after waving of chequered flag	7 days	
(B)63.4.2	(B)14.2	Failure to weigh in	Disqualify horse	
	(D)37.1	(i) Winner	21 days	
		(ii) Second/Third	7 days	
		(iii) Fourth (or any other placing for which there is prize money)	3 days	
		Any other placing	2 days	
(B)63.4.3		Weighing in at 2lbs or more overweight		
		(i) First four placings	3 days	
		(ii) Any other placing	1 day	
(B)63.4.4	(B)14.2 (C)37.3	Failure to draw the weight at which the rider weighed out by more than 2lb	Disqualify horse	
		(a) Rider or trainer in breach		
		(i) Winner	5 days (rider) or £1,500 trainer	
		(ii) Second/Third	4 days (rider) or £1,000 trainer	
		Any other placing	3 days (rider) or £750 trainer	
		(b) Cause not established - joint penalty		
		(i) Winner	3 days (rider) and £750 trainer	
		(ii) Second/Third	2 days (rider) or £500 trainer	
		Any other placing	1 days (rider) and £250 trainer	
(B)71.5		No good and reasonable grounds for objection	A	
		- frivolous or vexatious	C	
(B)79.1		Failure to obey Stewards	2 days (rider) £500 (trainer)	1 – 28 days £100 - £10,000
(B)79.1	(B)6.1.7 (B)6.1.8	Refusal to allow horse to be examined		
		(a) Pre race	Horse withdrawn refer	
		(b) Post race	£2,000	£1,000 - £2,500 or refer
(B)79.1		Refusal to attend an enquiry	£2,000	£1,000 - £2,500 or refer
Schedule (B)3	(C)27	Substance administered		

1.8	(C)30 (C)34.5 (A)66 Ground 4	on day of race (after 12 midnight) - other than glycerin with Veterinary Officer's permission.		
		(a) Pre race	Horse withdrawn refer	
		(b) Post race	refer	
		(c) Glycerin without permission	A	
Schedule (B)4 4.3		Modification of visors		
		1st offence	Draw trainers attention	
		2nd offence	B	
Schedule (B)4 5.2		Declared tongue strap not fitted in error or not shown to Veterinary Officer/ Surgeon	B	
Schedule (B)4 5.5		Loss of headgear		
		(a) Accidental - refit if on way to start	No penalty	
		(b) Deliberate to affect performance	refer	
		Failure to wear headgear		
		(a) In paddock - time to add declared garment or remove non-declared garment	No fine	
		- if garment cannot be added	Horse withdrawn B	
		b) At start - without declared garment/ with non-declared garment	Horse withdrawn B	
Schedule (B)4 5.6		Substitution of incorrectly declared garment	B	
Schedule (B)4 5.7		Tongue strap declared in error	Horse can run B	
Schedule (B)4 6.2		Undeclared tongue strap worn prior to or in a race	Horse can run C	
Schedule (B)4 7.1	(C)36.1	Oversize calkins/ nailheads		
		(a) Horse withdrawn or problem resolved	B	
		(b) Horse runs in oversize calkins/ nailheads	C	
Schedule (B)4 7.2		Not fully shod (turf flat)	B	
Schedule (B)4 8		Nasal dilators, supports or bells	B	

(C)15		Failure to report pregnant mare	D	
		- reported before raceday	C	
(C)16		Failure to report Wind surgery	D	
		- reported before raceday	C	
(C)29		Ringworm - Failure to produce a Certificate of Non-Contagiousness		
		1st - 3rd offence (same penalty)	£140	
		4th offence	refer	
(C)30.3		Substance administered on racecourse property		
		Veterinary Officer would have given permission	Horse can run C Sample horse	
		Veterinary Officer would not have given permission		
		(a) If trainer runs horse	Horse can run Refer Sample horse	
		(b) If trainer withdraws horse	Refer Sample horse	
(C)31.1		Manipulative therapy on day of race	A	
(C)32		Failure of trainer to report reason for poor performance	A	
(C)32.3	Schedule (B)4 5.1	Trainer fails to report that horse lost tongue strap during race		
(C)34.1.2		Reins not correctly attached to bridle	A	
(C)34.1.3		Other equipment worn by a horse	B	
(C)37.1		Leading horses incorrectly	A	
(C)37.2		incorrect weight or colours in racecard not declared:		
		(a) Colours	A	
		(b) Incorrect weight	B	
(C)37.3.1		Number cloth not carried	A	
(C)37.3.3		Saddling errors	A	
(C)37.4.2		Removal of lead	B	
(C)37.4.3		Add, remove or change equipment	B	
		Results in rider 2lbs or more overweight	B	
(C)38	(B)54 (B)55 (D)35	Horse not running on its merits. (Any placing from and including first to last)	See pages 3 - 6	
(C)38	Schedule (B)6 Part 2	Whip - instructions by trainer		
		when rider IN breach		

		(a) Inadequate	D	
		(b) Unacceptable (c) Failure to give any to an inexperienced rider when rider NOT in breach (d) Failure to give any to an inexperienced rider	£1,500 D C	£1,000 - £2,500
(C)39		Running and riding enquiry		
		(a) Trainer fails to authorise person to represent him	B	
		(b) Trainer's representative unaware of rider's instructions	B	
		Trainer reported - unschooled horse		
		1st Occasion	Warning	
		2nd Occasion	Refer	
(D)24.1		Rider fails to notify Chief Steward when unable to ride	7 days	
(D)25		Rider leaves racecourse and returns without permission	B	
		- unless of the opinion he left for suspicious reason, in which case	refer	
(D)26.1	Schedule (D)2 Part 2	Skull cap/safety vest - to be worn when mounted	B	
(D)26.1	Schedule (D)2 Part 2	Skull cap/safety vest - unserviceable/ modified		
		(a) Accidental	B	
		(b) Deliberate	D	
(D)26.2		Modified safety vest on racecourse	C	
(D)26.4		Condition of saddle	B	
(D)27	Schedule (D)2 Part 2	Whip not complying B with specifications*	C	
*Stewards must prohibit the use of the whip and, if appropriate, confiscate whip and submit report.				
(D)27.1		Failure to carry a whip	A	
(D)27.2		Modified approved whip	B	
(D)28.6		Ear Plugs removed		
		(a) By rider	1 day	
		(b) On instruction of trainer/owner	D	
(D)30.1		Rider fails to acquaint himself with course	4 days	3 – 7 days
(D)30.1	(B)22	Late arrival or failure of B rider to weigh out	B	
(D)31.1		Failure of rider to weigh out because declared to ride two horses in same	B	

		race		
(D)31.1		Refusal to ride before weighing out	C	
(D)32.6	Schedule (D)2 Part 1	Safety vest - weighing out		
		(a) Accidental	B	
		(b) Deliberate failure to wear	D	
(D)33.1		Leaving saddle unattended	A	
(D)33.1		Equipment or clothing (inc safety vest) changes after weighing out		
		(a) Accidental	B	
		(b) Deliberate	D	
(D)33.3		Failure to ride after weighing out	£800	£650 - £2,500
(D)34.3	Schedule (B)5	Misconduct by rider at the start		1 – 5 days
		Disregarded the marker poles	1 day	
		Disregarded the marker poles and allowed his horse's head to be in contact/ over the starting tape	2 days	
		Attempted to line up/ lined up for start before being instructed to do so	1 day	
		Did not walk in or jig jog/broke the starting tape	1 day	
		Ignored the Starter's/ Assistant's instructions	2 days	
		Deliberately faced his horse backwards	2 days	
		Abusive comments directed at Starter/ Assistant	3 days	
(D)35.3		Failure to pull up - lame or injured horse - where it is contrary to the horse's welfare	8 days	5 – 12 days or refer
(D)35.4		Failure to dismount from a lame or injured horse	10 days	7 – 14 days or refer
(D)36		Dismount before appropriate place	B	
(D)36.5.1		Removal of saddle	1 day	
(D)36.5.2	(D)37.3	Procedures prior to Weighing In		
		(a) Accidental	1 day	
		(b) Deliberate	3 days	
(D)37.1		Failure to present himself to Clerk of Scales	A	

(D)37.5		Rider not remaining within the vicinity of the weighing room for 5 minutes after the announcement of "Weighed In"	C	
(D)38	(D)(32	Failure of rider to report that horse has gurgled	B	
(D)39		Failure of rider to report reason for poor performance	B	
(D)40		Failure to report to the RMO	C	
(D)41		Not passed fit by RMO		
		(a) Attempts to weigh out	C	
		(b) Rides in a race	14 days	
(D)42		Late arrival at Stewards' Room	A	
(E)14		Horse subject to ID check		
	(C)24 (E)14.3 (E)15.3	(a) Passport not produced	Horse withdrawn C	
	(E)14 (E)15	(b) Cannot be identified from markings	Horse withdrawn refer	
	(C)24 (E)17 (E)18	(c) Vaccination section of passport not completed correctly	Horse can run B	
(E)14.3	(E)15.3	Horse subject to vaccination check but passport not available	B Ask trainer to sign declaration	
(E)17		Vaccinations section of passport not completed correctly (other than alteration or a recheck) - if insufficiently vaccinated	Horse withdrawn	
(E)17		Recheck reveals vaccination record still out of order	D	
(E)17		Horse never vaccinated	Horse withdrawn D	
(E)17		Horse vaccinated within previous seven days	Horse withdrawn C	
(E)18		Alteration to vaccination record - other than in a recheck	A	
(E)18		Recheck reveals alteration to vaccination record still out of order	C	
(E)65		Runs in colours other than those registered	A	
(E)73	Schedule (B)6 Part 2	Whip - instructions by owner		
		when rider IN breach		
		(a) Inadequate	D	
		(b) Unacceptable	£1,500	£1,000 - £2,500

		(c) Failure to give any to an inexperienced rider when rider NOT in breach (d) Failure to give any to an inexperienced rider	D C	
(F)27.4		Withdrawal of top weight from a handicap race less than 1 hour before the time of the first race on the racecard	£500	£250 - £1,500
(F)52.2		Failure to declare a rider	B	
(F)57.2		Unavailable rider declared to ride	A	
(F)54	Schedule (F)2	Horse does not run	£50	
		- after 12.00 pm on the day of race	£100	
(F)54.4.3		Wilful disregard of interest of racegoers - taking account of nature of offence and importance of race	£500	£250 - £1,500
(F)56	Schedule (F)2	Non-runner - failure to notify the Authority, Racecourse Managing Executive, Chief Steward or Clerk of the Scales	£500	
(G)7.2		Possession on racecourse premises of a prohibited substance or prohibited method.	refer	
Schedule (G)3 1.5		Passport not available for inspection at sampling	B	

OFFENCES CONSIDERED BY THE DISCIPLINARY PANEL

1. The Disciplinary Panel has the power at its discretion under Chapter (A)2 of the Rules of Racing to impose any one or more of the following penalties:
   (a) a fine not exceeding £20,000;
   (b) declare a person disqualified;
   (c) exclude a person from any premises licensed by the CIHA;
   (d) withdraw or suspend a licence or permit and to defer a suspension but not normally for more than 6 months
   (e) make any person ineligible for any licence or permit or registration under the Rules of Racing for such period or periods as they may in their discretion think fit;
   (f) issue a caution;
   (g) in the case of a rider, order attendance at a course in remedial training;
   (h) in the case of a trainer, to refuse to accept or to allow as the case may be for such period or periods as they think fit:

      (i) any entries for horses in the care of the trainer except for races that will be run outside that period;
      (ii) any horse to run in the care of the trainer even if duly entered;
      (iii) any horse that has left the care of the trainer and run in a race to return to the care of the trainer until such period has expired;
      (iv) any horse to be declared to run under Rule (F)50 in the care of the trainer except for races that will be run outside that period.

2. When deciding the appropriate penalty the Panel should normally start their deliberations at the 'Entry Point' highlighted within the 'Range' and, dependent on the circumstances, reduce the sanction to take account of mitigating factors or increase the sanction to take account of aggravating factors. The 'Entry Point' is therefore the normal penalty for a case with no aggravating or mitigating factors. Where no 'Range' is provided for the offence, the recommended 'Entry Point' is a fixed penalty. A Panel should impose this sanction in all cases unless exceptional circumstances are found. In all other cases the Panel has the discretion to impose a sanction which is outside the 'Range' where exceptional circumstances are found. The Panel should provide reasons for imposing a sanction which is outside the 'Range' or fixed penalty. In respect of offences not referred to in the table, appropriate sanctions may be imposed at the discretion of the Panel by applying suggestions of similar sorts of offences or by referral to the recommendations given to the Stewards.

3. Having by this process determined the penalty within the 'Range' which the Panel would impose for the offence the Panel should then consider whether the penalty should be reduced in recognition of the conduct of the person concerned since first being on notice that his conduct was under investigation. The Panel may reduce a penalty by as much as one half where the person has co-operated fully with the investigation and, where applicable, provided information enabling action to be taken against other wrong doers. In a case where the person concerned admits the charge in the form sent to him in accordance with Schedule (A)3 Paragraph 4.9 the Panel may consider reducing the penalty by up to a third. The policy behind mitigating penalties in this way is to encourage persons who are guilty of an offence to make as early an admission as possible so as to release racing's limited resources for pursing other matters; to facilitate action against others, and to save the time and expense of lengthy investigations and hearings. The reduction in penalty will therefore in all probability be smaller (and perhaps not applied at all) in straightforward cases where the evidence of breach is plain and compelling or video based, as will also be the case where admissions are not made until shortly before or at the hearing. Reduction of penalty will therefore also have no or limited application regarding standalone riding offences and cases of strict liability e.g. prohibited substances.

4. The Panel will not normally consider a previous decision to be helpful or relevant when deciding the appropriate penalty to be applied in accordance with the principles set out in these guidelines.

5. The Panel should have regard to the current guideline at the date of its decision on penalty provided that it must not apply a penalty greater in its effect or different in kind from that which it would have the power to impose under the Rules of Racing in force at the time of the offence(s).

6. Where the Panel imposes a significant period of suspension or equivalent penalty it may be expected to make the person ineligible under Rule (A)50 for alternative involvement as a participant in horseracing in all licensed or permitted capacities and such other capacities as it may consider appropriate to the case for the same period.

7. The Panel may order the trainer and/or owner, under Rule (A)39.4, to pay up to a total of £500 towards the costs of the B Sample analysis procedure set out in Schedule (G)4.

RECOMMENDED PENALTIES FOR OFFENCES CONSIDERED BY THE DISCIPLINARY PANEL

Manual	**Other Manuals related to**	**Offence**	**Band or Entry Point**	**Range**
(A)14.1		Unlicensed rider rides in race	Disqualify horse £150 Suspend From riding 1 month	£100 - £1,000 14 days – 2 months
(A)22		Entering not qualified horse	£100	£100 - £500
(A)23		Prejudicial to the integrity, proper conduct or good reputation of horseracing	£2,000 or Suspend/ Withdraw/Disqualify 3 months	£1,000 - £15,000 1 month - 3 years
(A)23.2		Associating with a disqualified or excluded person under Rule (A)64	£1,000 or Suspend/ Withdraw/Disqualify 3 months or refuse to accept entries	£500 - £2,500 1 month - 3 years
(A)24.1		Rider failing to attend seminar or training course	£750	£500 - £5,000
		Breach of declaration or undertaking by licensed person i.e. Terms and Conditions of Employment		
		Provide inaccurate information or omit any relevant information	£250	£100 - £2,000
(A)24.2		Forged signature	£750 or Suspend/ Withdraw/Disqualify 2 months	£500 - £2,000 1 month - 1 year
		Misleading or endeavouring to mislead the persons referred to in the Rule	£2,000 or Suspend/ Withdraw/Disqualify/ Exclude 3 months	£1,000 - £5,000 1 month - 3 years
		Misleading or endeavouring to mislead an Investigating Officer	£2,000 or Suspend/ Withdraw/Disqualify/ Exclude 3 months or refuse to accept entries	£1,000 - £5,000 1 month - 3 years
		Rider giving deliberately misleading evidence at an enquiry	14 days	5 – 21 days
		Trainer giving deliberately	£1,500	£500 - £5,000

		misleading evidence at an enquiry		
(A)25		(a) Violent or Improper conduct towards Stewards or Officials	£1,500	£500 - £5,000
		i) Abusive behaviour (verbal only)	4 days (rider) £1,000 (trainer)	1 – 21 days £100 - £5,000
		ii) Threatening behaviour (verbal, physical gestures)	21 days (rider) £5,000 (trainer)	14 - 42days £2,500 - £10,000
		iii) Violent conduct (physical contact)	£5,000 or Suspend/ Disqualify/Exclude 3 months	£2,500 - £12,000 1 month - 3 years
		(b) Violent or Improper conduct between riders/ trainers	4 days (rider) £500 (trainer)	1 - 21days £100 - £5,000
(A)26		Bribes	Disqualify/Exclude 3 years	3 months - 10 years
(A)29		Information for reward etc		
		Rider	Disqualify 3 years	18 months - 5 years
		Trainer/owner/ authorised rider's agent	Disqualify 3 years	18 months - 5 years
		Stable employee	Disqualify 3 years	18 months - 5 years
		Service provider/other person	Disqualify 3 years	18 months - 5 years
(A)30		Assist or cause another person to be in breach	For Penalty see Rule that was breached	
(A)31		Participation at unrecognised race meeting	Disqualify 3 months	1 month -1 year
(A)32		Breaching owners' trainers' or riders' sponsorship controls	£150	
(A)32		Deliberately breaching sponsorship controls	£3,000	£1,000 - £25,000
(A)32	(C)25	Failing to remove sponsorship branding when instructed	£600	£500 - £5,000
(A)33		Criminal offence with regard to racing	Disqualify/Exclude 1 year	6 months - 10 years
(A)34		Running a 'ringer'	Disqualify/Exclude 20 years	15 - 25 years
		Corrupt or fraudulent practice	Where the corrupt or fraudulent practice included the actual or intended breach(es) of any other Rule(s) by other individuals involved in such practice, see penalty for such Rule(s) if the corresponding penalty exceeds the entry point and range below. Where there is no such associated Rule(s): Disqualify/Exclude 3 years	6 months - 10 years

(A)38.1.1	Schedule (A)3	Failure to return Schedule (A)6 7.2 form	£250	£200 - £5,000
(A)38.1.2	Schedule (A)3	Failure to attend an enquiry/appeal	£1,000 or Suspend licence 5 days or Disqualify 3 months	£200 - £2,000 or Suspend licence 2-20 days or Disqualify 1 month - 1 year
(A)38.1.3		Failure to produce information or records for enquiry/appeal	£2,500	£500 - £10,000
(A)38.2.1		Failure to attend an enquiry - witness	£1,000 or Suspend licence 5 days or Disqualify 3 months	£200 - £2,000 or Suspend licence 2-20daysor Disqualify 1 month - 1 year
(A)38.2.2		Failure to produce information or records for enquiry	£2,500	£500 - £10,000
(A)42		Failure to co-operate with any authorised person	£2,000 or Suspend/ Withdraw/Disqualify 3 months	£1,000 - £5,000 1 month - 3 years
(A)42.4		Hinders or obstructs	£2,000 or Suspend/ Withdraw/Disqualify 3 months	£1,000 - £5,000 1 month - 3 years
(A)43.2		Fails to agree a time or place for an interview	£2,000 or Suspend/ Withdraw/Disqualify 3 months	£1,000 - £5,000 1 month - 3 years
(A)43.2		Records not produced		
		Rider/trainer/owner/authorised rider's agent	Disqualify 18 months	1 – 3 years
		Late production of records		
		Rider	Suspend/Withdraw/ Disqualify 2 months	1 month – 1 year
		Trainer/owner/authorised rider's agent	£2,000 or Suspend/ Withdraw/Disqualify 2 months	£1,000 - £5,000 1 month – 1 year
		Tampering with records - rider/trainer/owner/authorised rider's agent	Suspend/Withdraw/ Disqualify 9 months	6 - 18 months
(A)63.1		Attending meeting whilst a disqualified person	£2,000 or increase period of disqualification	£1,000 - £10,000
(A)66 Ground 8		Failure to lodge a transfer of engagements	£200	£150 - £500
(A)66		Failure to register the appropriate document	£200	£150 - £500
(A)69.1	Schedule (A)3	Failure to attend an appeal	£1,000 or Suspend licence 5 days	£200 - £2,000 or Suspend licence 2 - 10 days
(B)6.1.6		Refusal to allow horse to be examined	£1,000 or Suspend/ Withdraw licence 3 months	£1,000 - £10,000 1 month – 1 year
(B)36.1		Rider late to the start: 5th offence	7 days	5 – 10 days
(B)54	(B)55.1.1	Deliberately not riding a horse to obtain the best possible placing for personal reward or where horse has been layed to lose	See pages 8 - 12 - Running and Riding	

		Stopping probable winner	See pages 8 - 12 - Running and Riding	
Schedule (B)3 1.17	(A)22 (C)35	Running a horse that has had a neurectomy	Disqualify 2 years	6 months - 3 years
Schedule (B)3 3.1 and 3.2	(A)22 (C)35	Horse not in care of licensed trainer		
		- mistake	£500	£400 - £1,000
		- deliberate	£5,000	£2,500 - £10,000
(C)10.1		Failure to check identity of horse - incorrect horse	£750	£450 - £1,500
		Failure to check identity of horse - correct horse but marking errors	£300	£200 - £500
(C)10.2		Failure to report discrepancies to the Racing Calendar Office	£100	£75 - £150
(C)11		Incomplete medication records	£500	£250 - £2,000
(C)12		Failure to inform the Authority of changes in information relating to a horse	£200	£150 - £500
(C)13.1		Failure to notify horse has been gelded	£200	£100 - £500
(C)14.1		Failure to notify horse is of ambiguous sex	£100	
(C)17.2		Notification of overseas performances (new horse arrives from abroad)	£300	£200 - £500
(C)18		Notification of overseas performances (by CI trained horse)	£300	£200 - £500
(C)19	Schedule (C)1 Part 1	Failure to enter into training agreement	£100	
		Failure to comply with Schedule(C)4 Part 2 (Code of Conduct for Trainers)	£1,000 or Suspend/ Withdraw/Disqualify 2 months	£500 - £10,000 1 month - 3 years
(C)22	(C)26	Trainer in breach of Rule regarding horse(s) in his charge		
		a) Below acceptable standard	£2,000	£1,000 - £3,000
		b) Neglect over a period of time - very poor husbandry	Withdraw licence 1 year	6 months - 3 years
		c) Wilful cruelty	Disqualify 8 years	5 - 25 years
(C)27.4	Schedule (B)3 1.8	Substance given on day of race and before horse runs	£1,000 Disqualify if ran	£750 - £2,000
(C)28.1		Failure by trainer to report communicable disease	£1,500	£1,000 - £10,000
(C)29.5		Certificate not produced and scrapings positive	£750	
(C)35	Schedule (B)3 1.14	Horse administered intra-articular corticosteroid on the day of the race or on any of the 14 days before the race.	Disqualify horse £1,000	£750 - £2,000
(C)35.1		Entering or running a horse not qualified to race	Disqualify horse £1,000 or Disqualify/Exclude 3	£500 - £3,000 1 month - 3 years

			months	
(C)35.2		Running wrong horse in race	£800	£500 - £2,000
(C)36		Failure to lodge foreign racecourse performances (Horse trained outside CI/GB)	£350	£250 - £1,000
(C)37.3		Wrong weight carried	Disqualify horse £250	£250 - £1,500
Schedule (C)1 4.4		Trainer submits unjustified or frivolous report	£300	£150 - £1,000
(D)9		Failure to report any injury or illness	£250	£150 - £1,000
(D)10.1		Jockey is owner or part owner of a horse	Suspend/Withdraw licence 3 months	1 month - 3 years
(D)43 and (D)45		Jockey - bets or accepts the proceeds etc	Disqualify 18 months	3 months - 10 years
(D)44		Amateur rider – bets or accepts the proceeds etc	Disqualify 18 months	3 months - 10 years
(D) Part 6		Positive Sample (rider)	See Testing For Banned Substances pages 58 - 59	
(E)14.5		Failure to present correct horse to VO	£250	£150 - £1,000
(E)17		Vaccination offence (x4)	£1,000	£750 - £1,500
(E)23		RCN not received	£150	£150 - £500
(E)26	Schedule (B)3	Failure to notify neurectomy	£1,000 or Withdraw/ Disqualify 6 months	£250 - £5,000 1 month - 2 years
(E)65.6		Failure to register colours	£110	
(E)65.7		Failure to declare alternative colours to the Racing Calendar Office or subsequently runs in wrong colours	£80	
(E)70		Failure to notify Racing Calendar Office horse is of ambiguous sex	£100	
(E)73		Owner compensates rider or instructs another to do so	£1,000 or Disqualify 6 months	£1,000 - £20,000 or 1 month - 3 years
(F)11		Non payment of fixture fee	£2,000	£1,000 - £5,000
(F)14		Breach of CIHA' instructions by Managing Executives	£500	Caution - £5,000
(F)96.2		Double declaration (x3)	£2,000	£1,500 - £3,000
(F)57		Failure to notify death of a horse	£100	
(G)2		Presence of Prohibited Substance in Horse's Sample		
		a) Raceday substance	Disqualify horse £1,000 Disqualify 2 years	£750 - £10,000 1 – 10 years
		b) Substance prohibited at all times	Disqualify horse Disqualify 2 years	1 - 10 years
(G)3		Use or Attempted Use of a Prohibited Substance or a Prohibited Method		
		a) Raceday substance	Disqualify horse £1,000 Disqualify 2 years	£750 - £10,000 1 – 10 years
		b) Substance prohibited at all times	Disqualify horse Disqualify 2 years	1 - 10 years

(G)4		Evading, Refusing or Failing to Submit a Sample Collection		
		a) Evasion or Refusal	Disqualify horse Disqualify 2 years	1 – 10 years
		b) Failing - intentional conduct	Disqualify horse Disqualify 2 years	1 – 10 years
		c) Failing - negligent conduct	Disqualify horse Disqualify 1 Year	6 months - 5 years
(G)5		Tampering or attempted tampering	Disqualify horse Disqualify 2 years	1 – 10 years
(G)6		Administration or attempted administration		
		a) Substance or method prohibited on raceday only	Disqualify horse £2,000 Disqualify 2 years	£1,000 - £12,000 6 months - 10 years
		b) Substance or method prohibited at all times	Disqualify horse Disqualify 2 years	6 months - 10 years
(G)7		Possession		
		a) Substance or method prohibited on raceday only	£1,000	£750 - £1,500
		b) Substance or method prohibited at all times	Disqualify 2 years	1 – 10 years
(G)8		Trafficking or attempted trafficking	Disqualify horse Disqualify 4 years	2 – 12 years
(G)9		Whereabouts Failures Filing Failures (x3)	£2,000 Disqualify 6 months	£1,000 - £5,000 1 month - 3 years
(G)10		Complicity	For penalty see the breach that the complicity was relevant to.	

TESTING OR RIDERS FOR BANNED SUBSTANCES

DISCIPLINARY PANEL – RECOMMENDED PENALTIES FOR BREACHES OF RULES (D)51 – (D)56

	Recommended Penalties	
ALCOHOL	**ENTRY POINT**	**RANGE**
1st Offence		
20-38* micrograms per 100 millilitres of breath or at or above 54 milligrams per 100 millitres in urine (the 'Lower Level')	Caution (rider stood down by Stewards and referred on the day)	
39* & upwards micrograms per 100 millilitres of breath or 108 & upwards milligrams per 100 millilitres of urine (the 'Upper Level')	40 days	26 – 60 days
2nd Offence (within 24 months)		
Lower Level - if 1st offence 'Lower'	10 days	7 – 21 days
if 1st offence 'Upper'	14 days	7 – 21 days
Upper Level - if 1st offence 'Lower'	45 days	40 – 60 days
if 1st offence 'Upper'	100 days	90 – 120 days
3rd Offence (within 36 months)		
Upper or Lower Level	90 days	60 -180 days
*These figures take account of the error factor in the equipment used for determining alcohol levels.		
DIURETICS		
1st Offence	£350	£300 - £500
2nd Offence (within 24 months)	£700	£500 - £1000
3rd Offence (within 36 months)	10 days	7 – 14 days
OTHER BANNED SUBSTANCES & NOTIFIABLE MEDICATIONS		
1st Offence*	2 months	1 – 6 months
2nd Offence* (within 24 months)	9 months	6 months – 2 years
3rd Offence* (within 36 months)	3 years	2 – 5 years
*The only exception being for cocaine when the rider will normally have his licence withdrawn at the top of the range		
REFUSAL OR FAILURE TO PROVIDE A SAMPLE*		
Urine		
1st Offence	9 months	6 – 12 months
2nd Offence (within 36 months)	3 years	2 – 5 years
Breath		
1st Offence	90 days	60 – 120 days
2nd Offence (within 36 months)	9 months	6 – 12 months
*In cases of breath and urine a refusal or failure to provide a sample is likely to be considered to be serious and to attract a penalty at the higher end of the range.		

NOTE:
Alcohol and Diuretic findings stand alone when looking at previous and subsequent offences except when in combination with a refusal to provide a sample. Offences under the headings 'Other Banned Substances and Notifiable Medications' and 'Refusal or Failure to Provide a Sample' will be combined when taking into account previous offences. An offence shall drop out of the reckoning after 36 months of it being imposed, except in the case of an alcohol reading within the 'Lower Level' when it shall be 24 months.