



# **POINT-TO-POINT STEWARDS**

## **GUIDE TO PROCEDURES AND PENALTIES**

**(To be read in conjunction with  
BHA Regulations for Point-to-Point Steeple Chases)**

## **Guide to Procedures and Penalties**

This Guide contains information on the Point-to-Point Regulations 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 course or before a Disciplinary Panel. The Guide should not be seen as either a replacement for, or an interpretation of, the Regulations. 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 Regulations. 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 go outside the penalty guidelines 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 the PPA (Peter Wright) or the BHA (Lyn Williams)

# 1. Stewarding at a Point-to-Point Meeting

## DEPLOYMENT OF STEWARDS

1.1 The following principles should be adhered to whenever possible:

- The Chair of Stewards should arrive early to walk the course with the Clerk of the Course to confirm the state of the going.

Note: If racing is in any doubt because any part of the course is unfit for racing (e.g. frost, waterlogging, hard ground etc.) an inspection must be called. It is essential that there is close liaison between the Organisers/Clerk of the Course/Chair in the run up to a fixture. The timing and result of any inspection should be announced on a local answerphone message facility and/or a national dedicated telephone line. It is strongly recommended that inspections, or the possibility of inspections, are advertised as early as possible (e.g. the day before the fixture) and that no first formal inspection occurs less than two hours before racing has been scheduled to start (unless a sudden downturn in weather necessitates such an ad hoc inspection). If the consensus is that the meeting is likely to go ahead even though the course is not raceable at the time, a further inspection(s), must be announced and continue to be conducted until the Stewards are satisfied that the course is raceable. Organisers must ensure when informing any person or body or answering any enquiries into the likelihood of racing, that they make the situation clear. No announcements or messages indicating that racing will definitely go ahead must be made until the Stewards have officially confirmed this to be the case.

- The Chair for the day is responsible for the deployment of the Stewards, who should also arrive in good time to acquaint themselves with the course and the Officials of the meeting. It is recommended that the Chair organises a rota of duties so that the Stewards are not obliged to perform the same role from the same location for every race on the card. Organisers should produce a race by race rota template sheet for the Stewards to complete before racing
- There should always be at least one Steward in the Parade Ring prior to each race.
- A Steward should be present in the unsaddling enclosure and at the weigh in after each race.
- All Stewards should report to the Stewards' tent after each race.
- One Steward should attend the start for at least one race during the day.
- One Steward should concentrate particularly on the rear of the field to monitor possible infringements of Regulations 125-128 (failure to obtain the best possible place), and any failure to pull up exhausted horses.
- A Steward should be located 'head on' in the finishing straight for each race and if necessary other Stewards located at advantageous points so that the whole race can be seen. This could include 'head on' turning out of the back straight or at any point on the course where interference may be anticipated. These 'field' Stewards should be equipped with radios so that an announcement to hold a Stewards Enquiry, if necessary, can be made as soon as possible.

## STEWARDS' POWERS

1.2 Regulations 11 - 16 set out the powers that Stewards can employ to ensure that racing is conducted properly. They form the foundation for all decisions that Stewards are likely to take during race meetings. The main points of these powers are:

- make or vary arrangements for the conduct of the Meeting or any race run at it (Regulation 13(i)); including dividing a race on the day if the Safety Factor is exceeded but excluding any variation whatsoever to the minimum medical provision on the day.
- abandon a day's racing or any races or to postpone any races (Regulation 13(ii));
- leave out or alter any fences in the circuit for safety reasons (Regulation 13(iii)); but as a guide no more than 50% should be omitted on the first circuit.
- prevent from running any horse which is not qualified (Regulation 13(iv));
- order the examination of any horse and withdraw such horse if any person prevents it from being examined (Regulation 13(vi));
- exclude or eject persons (Regulation 13(vii));
- enquire into and adjudicate upon the conduct of all persons on the racecourse (Regulation 13(viii));
- reduce, on raceday only and in exceptional circumstances, in consultation with the Clerk of the Course and the Local Inspector, the Safety Factor in each category of race (Regulation 13(x))  
Note: Under NO circumstances can the Safety Factor be increased.
- prohibit a rider from using a particular whip (Regulation 13(xi));
- prohibit a horse (withdraw) from running on veterinary/welfare grounds after vet's opinion received (Regulation 13(xii));
- prohibit the use of any equipment which in the Stewards' opinion is unsuitable, unsafe or ineffective (Regulation 13(xiii));
- withdraw a horse where the Stewards consider that it will be unable to start without there being an unacceptable delay to the start of the race (Regulation 13(xiv));
- prohibit a horse from running where the Stewards have reason to be concerned by its unruly behaviour(Regulation 13(xv)) .
- impose fines up to a particular limit;
- report matters to the BHA;
- suspend riders until the end of the meeting.

Matters relating to betting disputes should not be entertained.

## WHEN TO HOLD AN ENQUIRY

1.3 An enquiry should be held if the Stewards have concerns over:

- a riding misdemeanour (e.g. whip, interference);
- an incident occurs which gives grounds for the possible altering of placings;
- a horse not running on its merits;
- discrepancies in running;
- a breach reported by Officials.

It is also sensible to hold an enquiry when:

- a possible breach of Regulations takes place;
- there is possible speculation over the running of a race;

## CONDUCT OF A STEWARDS' ENQUIRY

### 1.4 Enquiry procedure

Following an objection made under Regulation 140(iv), or otherwise through Regulation 141(iii), the Chair of Stewards must be notified immediately that there is cause to convene a Stewards' enquiry.

Where placings may be affected or there is risk of a disqualification, an announcement must be made over the public address system that the Stewards are holding an enquiry, and the public are advised to retain all betting tickets until the result of the Stewards' enquiry is announced. Furthermore, the Steward present during weighing in must ensure that no announcement of "weighed in" is made over the public address system until authorised to do so by the Stewards.

The Chair must determine their panel of a total of 3 Stewards who will adjudicate in the enquiry. The following should be taken into consideration when drawing together the panel:

- Stewards with evidence central to the enquiry of the incident should not sit on the Stewards' panel. Instead they should be called upon as a witness.
- If the Steward has a pecuniary or other interest in the race, they should not act on the enquiry.
- It is not advisable that close family members act on the same enquiry.

Alongside the person(s) subject of the enquiry, the following people should be considered to attend the enquiry:

- the Stewards' Assistant (if you have one)
- the Clerk of the Course - if possible, and certainly for any course related enquiries, e.g. Taking the wrong course, interference etc...
- the VS should the offence be related to use of the whip, failing to pull up a tired/ exhausted horse etc...
- Witnesses - as and when necessary
- Owner/keeper should a novice rider be involved in the enquiry.

The Chair of the Stewards shall call in the person(s) subject of enquiry and at first instance introduce the acting Stewards and explain the presence of any other Steward who maybe in the room but not adjudicating. Any other person called upon as a witness or to consult, should also be introduced.

At the outset, the Chair shall then read out the grounds for the enquiry or objection, and for some enquiries under Regulation 141 (iii) inform the riders where the possible interference took place. Where applicable, the appropriate Regulation should be quoted.

- Each witness should be examined.
- An opportunity should then be given to the person against whom any allegations are made to comment further.
- The Stewards may raise such questions as they wish at any time and re-examine following statements from riders / witnesses.
- The person / people who are subject of an enquiry must be given the opportunity to call witnesses.
- At no point during this time should the Stewards make any comment on their own view of the incident.

Notes should be taken of all proceedings, and particularly important if it is evident that the enquiry relates to a potentially serious misdemeanour and/or is likely to result in an appeal to the BHA Disciplinary Panel.

Video evidence does not have to be used however may be viewed in private by the Stewards at their discretion. Always bear in mind if choosing to view a recording that using only one camera angle may sometimes be misleading and Stewards should never be placed under pressure to watch a video replay.

### **Consideration and decision - majority decision of stewards prevails**

On completion of evidence, all other persons leave the room except the panel of 3 Stewards sitting on the enquiry and the Stewards' Assistant. Stewards should then consider their findings.

No further evidence may be heard without the accused being re-called.

The Stewards' Assistant should be invited to draw attention to relevant matters e..g. whether the accused had previously been cautioned or fined for the same or similar offence during the course of the current season.

Principle decision options:

- Impose recommended penalty up to laid down maximum.
- Suspension of rider for rest of meeting (may be combined with imposed penalty).
- Issue a caution or warning
- Formally NOTE explanation; producing Enquiry Report to confirm decision. In noting the explanation, should important further evidence be presented the enquiry may be re-opened.
- Record explanation and take no further action. Recording explanation on Stewards' return after Meeting
- Refer to the BHA

Persons involved would then be brought back and informed of decision. If accused appears aggrieved at decision, remind them of appeals procedure (see Regulations 146-149).

### **Post-enquiry**

Stewards' enquiry report should be drafted and signed by the Stewards presiding at the enquiry (use templates to help).

Always ensure that the results of the Stewards' enquiry are announced, via the Clerk of the Scales, over the public address system so that the public are aware that the Stewards have enquired into a misdemeanour/horse performance. Therefore there is transparency and the public will be satisfied that action has been taken.

Note: Decisions affecting placings must be announced at earliest opportunity after time elapsed when objection could be made.

The Stewards' reports should then be sent to the PPA without delay by post/fax/email and, in any event, original copies should always be sent in the post.

## **2. Running and Riding (Regulations 125 – 128 and Appendix S)**

In order to maintain the integrity of Point-to-Point racing it is vital that questions are asked by Stewards under Appendix S of the Regulations or that an enquiry under Regulation 125 is held when a horse does not appear to have been run on its merits. Stewards should not be deterred from holding an enquiry because they consider it unlikely that they will be able to prove a breach of Regulations 125, 126, 127 or 128. These enquiries are not 'time sensitive' but Stewards should ensure the rider and owner/keeper (or their representative) are warned that they will be required to attend.

### **WHEN TO HOLD AN ENQUIRY**

REGULATION 125 DOES NOT ALLOW EXCEPTIONS FOR HORSES WHICH DO NOT OBTAIN THE BEST POSSIBLE PLACING AND THEREFORE THE STEWARDS SHOULD ALWAYS INITIATE AN ENQUIRY ON THE DAY OR ASK QUESTIONS RATHER THAN LEAVING IT TO THE STEWARDS OFFICIATING AT A FOLLOWING MEETING WHEN THE HORSE RUNS.

IN HELPING TO DECIDE WHETHER OR NOT TO HOLD AN ENQUIRY THE PANEL SHOULD 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**

Questions relating to distance/ground/instructions etc. need to be asked of the rider and owner (or his representative) to establish the reasons for the way the horse was ridden. The points of concern relating to answering NO to the two questions should be put to the rider and owner.

Note: If the owner is unable to attend the enquiry, his representative must attend Stewards' Enquiries on his behalf. If the representative is not aware of the riding instructions given, the Stewards will progress the enquiry as to whether the owner has ensured that adequate instructions were given for the purposes of sub-Regulation 125 (ii) on the basis of the evidence of the rider as to what instructions were given to them.

### **HAS A BREACH OF THE REGULATIONS BEEN COMMITTED?**

Prior to determining whether or not the rider and/or owner are in breach of Regulations 125 - 128 the Stewards will again consider the 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 those questions is NO, was the explanation given by either the rider or owner/keeper an acceptable reason for the horse not being asked for sufficient effort or ridden to obtain the best possible placing?



If the answer to either question remains NO, the rider is in breach of Regulation 126, 127 or 128.

With regard to the owner/keeper they will be in breach of sub-Regulation 125 (ii) if the Stewards are not satisfied that they either gave adequate instructions or gave instructions to the rider which if obeyed could or would prevent the horse from winning a race or obtaining the best possible placing. They will also be in breach if the rider is found in breach of Regulation 127 unless they are able to satisfy the Stewards that instructions had been given to the rider to enable the horse to obtain the best possible placing and the rider failed to comply with those instructions, and otherwise was in no way to blame for the horse's false running.

#### **WHEN IN BREACH**

If the Stewards find that a breach has been committed by the rider, it is necessary to categorise the offence as this will assist in arriving at the appropriate penalty. The following should be considered (Categorisation chart on page 119) :

- 1) Was the rider in breach of Regulation 126 (negligence)? IF NOT
- 2) Was the rider in breach of Regulation 127 (intent to conceal)? IF NOT

it must be a breach of Regulation 128 (failure to take reasonable and permissible measures) by the rider.

Having decided which Regulation the rider is in breach of and the category of offence, the Stewards will need to decide the penalty for the rider and, if appropriate, the owner/keeper.

#### **WHEN NOT IN BREACH**

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

- Noting - all explanations i.e. EXPLANATIONS SHOULD NEVER BE ACCEPTED ON THE DAY
- Referral to the BHA for viewing (if available) or receiving reports on horse's previous runs
  - a marked improvement in performance (see below)
  - concerns are expressed about performance last time out.
- Adjourned enquiry
  - vital witness is not present.

## **IMPROVEMENT IN PERFORMANCE**

If a winning horse shows much improved form (i.e. after a run where no enquiry was held, or following a 'noted' explanation) the Stewards should hold an enquiry and either further note the explanation or refer the matter formally to the BHA for further investigation.

### 3. Interference (Regulation 141 (III) and objections under 140 (IV))

#### HOLDING AN ENQUIRY

After holding an Interference enquiry and the riders have left the room, the Chair 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 Stewards must decide if a riding offence has been committed and whether the placings must be amended. To do this the Stewards should consider whether the offence was Dangerous, Careless, Improper or Accidental.

The Chair or Stewards Assistant 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.

Note: if the interference wasn't serious i.e. cannot be Dangerous and mandatory disqualification, the Stewards should go straight to the consideration of the placings before returning to Careless.

#### CATEGORIES AND DEFINITIONS

CATEGORY AND DEFINITION	EXAMPLES (These are the more common examples of interference but they are by no means exhaustive)
<p><b>1. FOR DANGEROUS RIDING THE RIDER MUST CAUSE SERIOUS INTERFERENCE. SERIOUS INTERFERENCE IS WHEN INTERFERENCE CAUSES A HORSE AND/OR RIDER TO FALL OR VERY NEARLY FALL OR THE HORSE IS SEVERELY HAMPERED E.G. UP AGAINST THE RUNNING RAIL, OR IS PUSHED OR NEARLY PUSHED OFF THE COURSE.</b></p>	
<p><b>WAS IT DANGEROUS RIDING?</b></p> <p>A rider is guilty of <b>Dangerous Riding</b> if they cause serious interference by:</p> <p>a) purposely interfering with another horse or rider or</p> <p>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.</p>	<p><b>RIDER CAUSES SERIOUS INTERFERENCE BY:</b></p> <p>a) Riding across to prevent a horse from going 'up the inner'.</p> <p>b) Attempting to force a horse off the track e.g. at the wing of a fence.</p> <p>c) Deliberately barging his way between two horses.</p> <p>d) Persistently attempting to get past any horse when there is insufficient room.</p> <p>e) Failing for a sustained period of time to take corrective action.</p> <p>f) Intentionally striking another horse or rider.</p> <p>g) Manoeuvring/changing direction, suddenly or gradually (particularly on to the rail)</p>
<p><b>If the rider is guilty of Dangerous Riding the horse must be disqualified.</b></p>	
<p style="text-align: center;"><b>Advice to Stewards</b></p> <p>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.</p>	
<p><b>IF YOU ARE SATISFIED THAT THE INTERFERENCE IS NOT DANGEROUS YOU SHOULD PROCEED TO THE SECTION HEADED 'DETERMINING THE RESULT FOLLOWING INTERFERENCE' (ON NEXT PAGE) TO DETERMINE WHETHER THE PLACINGS</b></p>	

**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 they fail to take reasonable steps to avoid causing interference or causes interference by inattention or misjudgement.

- 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.

**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 they cause interference by some manoeuvre where they 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.

- a) 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.
- b) Rider pushes through, thereby creating a gap or widening an existing gap which never looked like being big enough.
- c) Rider moves across to the rails at the start causing interference.
- d) Rider intentionally rides across to cause interference.
- e) Rider intentionally strikes another horse or rider
- f) Rider intentionally attempts to interfere with or strike another horse or rider with his whip

**Demotion only occurs if the horse causing the interference has improved its placing as a result of that interference.**

**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.**

**WAS IT ACCIDENTAL?**

- 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.

## **DETERMINING THE RESULT FOLLOWING INTERFERENCE**

One of the most difficult and contentious decisions Stewards have to make is to determine the result following interference. If the Stewards consider 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 and the 'weighed in' announcement stopped until the Stewards have come to their decision.

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 (following) provide a framework within which the Stewards should work in order to come to their decision. They do not provide the answer but try to ensure that the Stewards address the correct questions when making a decision.

Stewards 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?

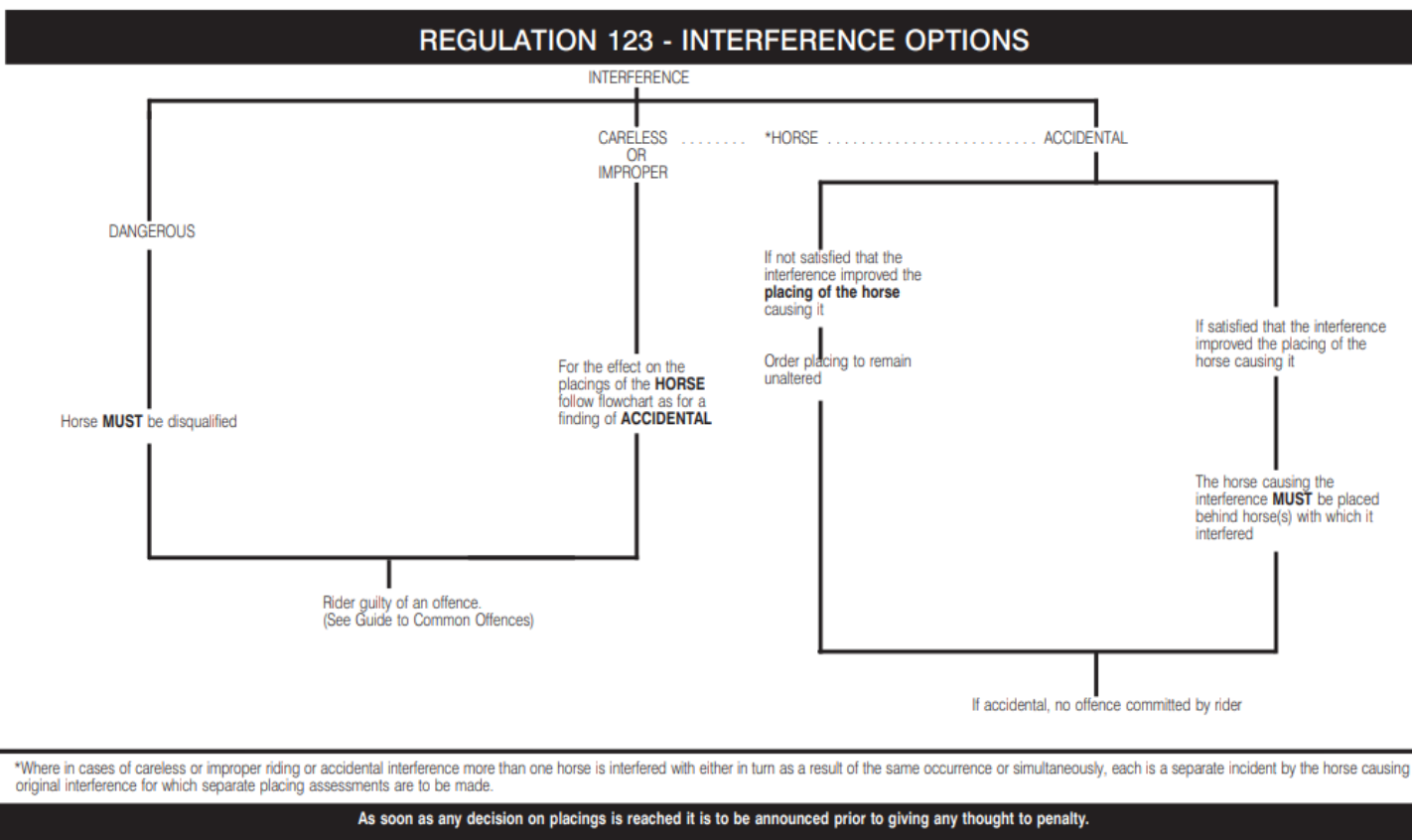
Having considered those factors relevant to the incident in question, if the Stewards are satisfied that on the balance of probabilities the interference did improve the placing of the interferer in relation to the sufferer(s), the placings must be altered. Otherwise, the placings must remain unaltered.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

## **GUIDING PRINCIPLES**

- a) Dangerous Riding - the placing(s) must be altered as the interferer must be disqualified.
- b) Careless, Improper or Accidental - if the Stewards are satisfied that the interference improved the placing of the horse causing it, the placings must be altered.
- c) 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.
- d) The benefit of doubt should go to the horse which finished in front.
- e) Stewards 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 short head between the horses.

- f) The further away from the winning post that the incident occurs, the less likely it is that the result should be changed.
- g) Stewards must make allowance for the momentum and ground lost by the sufferer by imagining that it had an uninterrupted run to the line.
- h) Stewards must NOT make an allowance for any effect on the horse causing the interference.
- i) Stewards must take into account the ease with which the interferer beat the sufferer.
- j) If a horse is carried off its intended line, the effect will vary depending on the distance from the winning post.

**INTERFERENCE OPTIONS**



## 4. Use of the Whip (Regulation 123 and Appendix O)

### Unacceptable uses of the whip

The whip should be used for safety and encouragement only.

The Stewards shall hold an enquiry into any case where they are concerned that a Rider may have used their whip contrary to Appendix O.

The following are examples of uses of the whip, which may be regarded as a breach of Regulation 123:

- a) A rider must use an approved whip.
- b) A rider may use the whip (including when waving it) in the forehand or backhand position.
- c) On each occasion the whip is used when the rider's hand is off the reins, it will count towards the permitted number of strikes.
- d) A rider must not use their whip more than 7 times.
- e) A rider must not use their whip excessively down the shoulder in the backhand position, with their hands on the reins, for example, as an alternative to using the whip in the freehand.
- f) A rider must only use the whip on the hindquarters of the horse in either the forehand or backhand position or down the shoulder with the whip in the backhand position.
- g) A rider must allow 3 strides between each use of the whip.
- h) A rider must only use the whip where their horse is responding.
- i) A rider must not use the whip with excessive force, for example by pulling the whip through from the opposite side of the body or rotation of the core to generate increased leverage.
- j) A rider must not use the whip with their whip arm above shoulder height, for example where there is clear space between whip hand and top of the helmet.
- k) A rider must not use the whip when out of contention, for example when there is no realistic prospect of finishing in the first five places.
- l) A rider must not use the whip without regard to stride, for example by actual or perceived impression of a double strike.
- m) A rider must not use the whip if their mount is clearly winning (or clearly in any other placing).
- n) A rider must not use their whip when past the winning post.
- o) A rider must not weal a horse with their whip.

### PROCEDURES

Horses may be subject to an inspection by a Veterinary Surgeon (VS) after the race. An owner/keeper (or their representative) must remove or adjust rugs or sheets for the purposes of any inspection.

The VS will report to the Stewards every horse which is wealed or injured.

An owner/keeper should attend any enquiry into a wealed or injured horse trained by them and may be liable to Disciplinary Action pursuant to Appendix O (which requires owners/keepers to give pre-race instructions to riders).

## RESTRICTIONS

- The whip may be used with a maximum number of 7 hits permissible throughout the race.
- A hit is defined where a rider appears to hit the horse whilst their hand is not on the reins, regardless of how, where, or with what force the whip is used.
- Discretion for individual strike(s) will only be in exceptional circumstances where the whip has 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 a rider may be in breach (you cannot be satisfied) of improper use of the whip a warning may be given and recorded on the end-of-day report.
- Riders must be acquainted with Appendix O of the British Horseracing Authority's Regulations for guidance on use of the whip in Point-to-Points.

## PENALTIES

Penalties for a rider using their whip **above the permitted level** are as follows:

8 – 10 hits      £150 minimum

11 hits          refer\* and stand rider down for rest of meeting (see below)

\*on referral the BHA will deal with the disqualification of the horse and penalise the rider for all breaches of the guidance identified by the Stewards

Whenever Stewards are satisfied that a rider has used their whip on 11+ occasions the matter has to be referred to the BHA. When Stewards give their decision it should be made clear to the rider why the matter is being referred (11+ hits) and the rider should be asked if they have anything further to add to what they previously said.

At the conclusion of the meeting, the Stewards' Report outlining the decision to refer, together with statements, preferably from two witnesses who observed the rider's 11+ uses of the whip, should be emailed to the PPA.

### Penalties for other whip breaches:

Hitting horse:

rapidly, without regard for stride i.e. twice or more in one stride:	£100 minimum (3 or more hits)
with whip arm above shoulder height:	£100 minimum (2 or more hits)
with excessive force:	£150 minimum (1 or more hits)
without giving horse time to respond:	£100 minimum (3 or more hits)
showing no response:	£100 minimum (3 or more hits)
out of contention:	£150 minimum (3 or more hits)



clearly winning:		£100 minimum (2 or more hits)
past the winning post:		£100 minimum (2 or more hits)
in the incorrect place:		£100 minimum
out of annoyance:		£150 minimum
wealed:	minor weal	£150 minimum
	moderate weal	£200 minimum

Where a rider is found in breach for a combination of whip offences, Stewards do not have to total up all the different amounts for the respective breaches but the fine must reflect all of the breaches. Stewards should start with the offence with the greatest penalty and add a further £50 for any other breach. For example: If in breach for both excessive frequency (10 times) and whilst out of contention, the rider may be fined £150 minimum for excessive frequency + £50 minimum for out of contention = £200 minimum fine.

Riders may also be suspended for the remainder of meeting in conjunction with the fine.

### **SUBSEQUENT WHIP BREACHES**

For 2nd offences (i.e. repeat whip offenders) - Stewards should calculate the appropriate fine for the offence(s) and double it.

For 3rd offences - refer to BHA.

### **OWNER'S/KEEPER'S LIABILITY**

For all whip offences involving novice riders, Stewards should ask the owner/keeper to accompany the rider to the Stewards' enquiry. If they are found to have given inadequate or no instructions to the rider with regard to use of the whip, or instructions, which if obeyed, could or would lead to violation of the whip restrictions, disciplinary action should also be taken against the owner/keeper.

## **5. Hazards at Fences (Regulation 122)**

### **ADVICE AND GUIDANCE**

The Stewards attention is drawn to the procedures for dealing with hazards at fences covered under Instruction 8.6, 'FENCE ATTENDANTS'.

Where during the course of a race the field is directed around a fence in an emergency, the Stewards must satisfy themselves that all horses completed the correct course (Regulation 122(iv)). Where any rider has jumped a fence at which the direction markers have been deployed the Stewards must hold an enquiry under Regulation 140(iv) to consider whether the rider(s) took all reasonable steps to avoid it. The rider(s) may be guilty of an offence and in any event the horse shall, on objection under Regulation 140(iv), be disqualified UNLESS THE STEWARDS ARE SATISFIED THAT THE PROVISIONS OF APPENDIX AA OF THE POINT-TO-POINT REGULATIONS APPLY.

## 6. Common Offences and Penalties

### STEWARDS' POWERS

The maximum penalties which Stewards may impose are:-

1. A fine of £600 except where a maximum fine is laid down in the Regulations for the breach of any particular Regulations.
2. Suspension of a rider for the rest of the meeting.

Where the Stewards consider it necessary or when they feel that their powers are insufficient to deal with a specific case they may refer it to the BHA.

Second and third offences only relate to the current Season. Stewards should always ask the "Offender" if they have been cautioned/fined for a similar offence during the Season. This can then be cross-checked at a later date by the PPA/BHA.

All fines must be collected at the meeting and forwarded to the Fixture Secretary, who shall forward them to the PPA.

### OWNER/KEEPER

Stewards should note that as from the commencement of the 2023/24 Season all Keepers have had to agree to be bound by the Regulations and are responsible for all possible breaches of the Regulations 'as if the Owner'. Accordingly, unless a Keeper can show that a breach of the Regulations was the sole responsibility of their Owner, and that they (the Keeper) were not a party to the breach in any way, the fine for any breach of the Regulations should be imposed upon the Keeper.

### RECOMMENDED PENALTIES FOR COMMON OFFENCES

Offences	Regulations	Scale of Penalty
<b>PRE-RACE</b>		
Passport Unavailable	35 (ii)	Fine £100 Owner/keeper to confirm that horse's vaccinations are correct by sending copy to @Equine before next entry
Vaccinations. - not vaccinated at all - vaccinated on day of race - any of 6 days prior to the day of the race	38 (i)	Fine £150 Horse <u>cannot</u> run Owner/keeper to confirm that horse's vaccinations are correct by sending copy to @Equine before next entry

Vaccinations - vaccinations section of passport not completed correctly or showing vacs not in order	38 (ii)	Fine £100 Owner/keeper to confirm that horse's vaccinations are correct by sending copy to @Equine before next entry
Rider fails to take or fails breath test	57	Cannot ride at entire meeting
Rider fails to take urine test	58	Refer
Failure of declared rider to come under Starter's Orders	114 (vi)	Fine £100 unless circumstances are acceptable to the Stewards
Horses not qualified to run under Reg 111(iv)	111 (iv)	Refer
Failure to run horse after declaration	111 (v)	Fine £155 or refer
Late arrival of rider to weigh out	114 (i)	Fine £50 upwards
Late in Parade Ring (Horses)	120 (i)	Fine £50 upwards
Failure to lead horse fitted with bridle or a headcollar fitted with a chifney	115 (vii)	Fine £50
Unauthorised advertising	Appendix L	1st Offence - caution 2nd Offence – fine £75
Number Cloth incorrect or not carried	118	Fine £50
Skull Caps	115(ii), Appendix C	1st Offence – fine £50 2nd Offence – fine £100
Body Protectors	115(iv), Appendix C	1st Offence – fine £50 2nd Offence – fine £100
Whips not complying with specifications	117	1st Offence – fine £50 upwards 2nd Offence – fine £100
Reins not correctly attached to bridle	115 (v)	Fine £50 upwards
Saddling errors	115 (iii)	Fine £50 upwards
Oversize Calkins Oversize Nailheads	116	Fine £50

Failure to run horse in declared headgear or horse runs in a non-declared item	119 (ii) (a)(b)	Fine £75
Failure to run in declared tongue strap (reason not acceptable)	119(ii) (c)(d)	Fine £50 upwards
Running in tongue strap when not declared	119(ii) (c)(d)	Fine £50 upwards
Unruly behaviour of horse	26 (vi)	1st occasion - informal warning to owner 2nd occasion - owner to be informed: "Future similar behaviour will render the matter liable to be reported to the BHA" 3rd occasion - refer
Misconduct at start	26 (x), (xi)(e)	Fine £75

#### DURING RACE

Riders continuing in race (including following remounting).  Taking the wrong course.  Jumping fence when direction markers are in place	122/126	Fine £75 upwards Mandatory disqualification unless provisions of Appendix AA of Regulations apply.
Rider disregards stop race flag	122 (vi)	Fine £250
Riding Offences (a) Interference - Careless, dangerous and improper	123	1st Offence - caution (ONLY Careless) - fine £75 upwards 2nd Offence - fine £150 upwards and suspend for remainder of meeting 3rd offence – Refer  If <u>DANGEROUS</u> , mandatory disqualification and recommend that fine doubled.
Riding Offences (b) Improper Use of the Whip	123, Appendix O	See 'Use Of The Whip' on Pages 113 and 114
Failure to pull up/dismount from exhausted/lame horses	123, Appendix V	Fine £150 upwards
Rider remounting without a veterinary check of horse and/or medical check of rider.	Appendix V	Fine £75
Running and Riding (failure to achieve best possible placing)	125 to 128 Appendix S	See table at page 119

Earplugs removed	Appendix X	Fine £50 If by rider on Instruction of owner also fine owner/keeper £50
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## POST-RACE

Failure to weigh in	130 (i) & (iv)	Winner - fine £150 - £600 or refer* *If wilful refer. Second or Third – fine £60 - £125 Fourth – fine £40 Mandatory disqualification of horse
Failure to draw correct Weight (more than 2lb light)	115 (iii), 131 (iii), (iv)	If explanation not acceptable Owner/keeper – fine £130 - £600. (Unless fault is riders in which case rider fined) Mandatory disqualification of horse
Weighing in at 4lb or more overweight	131	Fine £50 upwards (Do not disqualify)
Failure to report to the Doctor after a fall	55 (i)	Fine £70
Improper Conduct	170 (ii), (iii)	£90 - £600 or refer

## RUNNING AND RIDING PENALTIES

FAILURE TO OBTAIN THE BEST POSSIBLE PLACING - CATEGORISATION OF OFFENCE		
POTENTIAL OFFENCE	SUBDIVISION OF POTENTIAL OFFENCE	APPROPRIATE ACTION (First offence during previous 12 months).
<b>Regulation 126 (Negligence) Riders</b>	i) Failing to ride out approaching the finish by dropping hands on a horse that would have been placed first, second, third, fourth.  ii) Mistaking the race distance and either riding a finish a circuit too early or failing to ride a finish.  iii) Taking the wrong course.  iv) Ill-judged race – rider only starts to ask for an effort too late as a result of serious misjudgement or inattention.	i) a) If would have won, £150 - £600 depending on seniority of rider or refer. If wilful, refer b) £75 - £150 if would have been second, third or fourth and depending on seniority of rider.  ii) £100 upwards  iii) £75 upwards. Mandatory disqualification unless turned back and riding the correct course.  iv) £100 upwards

<b>Regulation 127 (Intent) Rider and Owner/Keeper</b>	i) Deliberately preventing a horse from winning. ii) Purposely not riding out a horse that would otherwise have won. iii) Horse which has intentionally not been asked for sufficient effort. iv) Horse which appears capable of reaching a challenging position but which intentionally is never asked to do so. v) Using the racecourse as a training ground i.e. Schooling and/or Conditioning. Horse usually first time out or returning after a lengthy absence.	i) Refer  ii) Refer  iii) Rider and/or owner/keeper £250 - £600  iv) Rider and/or owner/keeper £250 - £600  v) Rider and/or owner/keeper First offence - £90. Second offence - £180 upwards. Third offence - refer
<b>Regulation 128 (Failure to take reasonable and permissible measures) Riders</b>	i) Rider fails to take all reasonable and permissible measures throughout the race.	i) Rider £125 - £600.

Note: Normally a comparable penalty should be imposed on rider and owner where both are found in breach of the Regulations. In addition, whilst details of the fines which should be imposed on an owner who has been found “in breach” are mentioned in the above table, the owner must always be fined under sub-Regulation 125(ii). This would not apply where the owner was riding the horse concerned.

**BREACHES OF THE REGULATIONS FOR WHICH HORSES MUST BE DISQUALIFIED BY THE STEWARDS OF THE MEETING.**

1. Failure to weigh in (Regulation 130) - unless part (iv) of the Regulation applies
2. Taking the wrong course - unless turning back and riding correct course (Regulation 122 and 126)
3. Failure to draw correct weight (Regulation 131)
4. Dangerous Riding (Regulation 123)
5. Remounting to continue in the race (Regulation 122(v))

**OBJECTIONS TO DECISION OF JUDGE**

In the event of a formal objection as laid down in Regulation 141, the Chair should follow this procedure:

- Ask the objector the basis for their objection and advise them that they will need to lodge a deposit of £60
- Ask the Judge to review their decision
- Examine the video evidence relied upon by the Judge
- Confirm or amend the original decision following discussions with the Judge.

- If decision stands, decide whether or not there was any merits in the objection and, if not, advise the objector of the loss of their deposit
- Show evidence to the Objector.

Note: If the Judge was unwilling to change their decision but the Stewards still have concerns over the result, a report should be sent to the PPA immediately after the meeting

#### PENALTY GUIDE TO 'RIDER TESTING' BREACHES FOLLOWING REFERRAL TO BHA

ALCOHOL	ENTRY POINT	RANGE
<b>1st Offence</b>		
20-38 micrograms per 100 millilitres of breath or at or above 54 milligrams per 100 millilitres in urine ('Lower Level')	Caution (rider stood down by Stewards and referred on the day)	
39 & upwards micrograms per 100 millilitres of breath or above 108 milligrams per 100 millilitres of urine ('Upper Level')	30 days	16 – 45 days
<b>2nd Offence (within 24 months)</b>		
Lower Level – if 1st offence 'Lower' - if 1st offence 'Upper'	9 days 16 days	7–21 days 7–21 days
Upper Level – if 1st offence is 'Lower'- if 1st offence is 'Upper'	30 days 65 days	16 – 45 days 50 – 90 days
<b>3rd Offence (within 36 months)</b>		
Upper or lower level	58 days	45 – 120 days

(these figures take account of the error factor in the equipment used for determining alcohol levels)

BANNED SUBSTANCES	ENTRY POINT	RANGE
1st Offence*	1 month	14 days –3months
2nd Offence* (within 24 months)	4 months	2 months –9months
3rd Offence* (within 36 months)	1 year	9 months –2years

\*the only exceptions being for

-cocaine when the rider will normally have his licence withdrawn at the top of the range

- diuretics when a financial penalty may be considered appropriate



<b>REFUSAL OR FAILURE TO PROVIDE A SAMPLE</b>	<b>ENTRY POINT</b>	<b>RANGE</b>
Urine 1st Offence	4 months	3 months –6months
2nd Offence (within 36 months)	1 year	9 months –2years
Breath 1st offence	58 days	45 – 90 days
2nd Offence	6 months	4 months – 18 months

NOTE: Alcohol 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 'Banned Substances' 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

## **APPENDICES**

APPENDIX A COMMON STEWARDS' ENQUIRY ANNOUNCEMENTS AND NOTICES

APPENDIX B AIDE-MEMOIRE – RUNNING AND RIDING

APPENDIX C AIDE-MEMOIRE – INTERFERENCE

APPENDIX D AIDE-MEMOIRE – USE OF THE WHIP

## **APPENDIX (St)A**

### **COMMON STEWARDS' ENQUIRY ANNOUNCEMENTS AND NOTICES**

#### **1. Announcements of Enquiries relating to Regulation 123 (interference)**

a. Stewards Enquiry. The public are advised to retain all betting tickets until the result of the Stewards' enquiry is announced.

b. The Stewards are holding an enquiry under Regulation 141(iii) into possible interference involving PICT (e.g. the winner) and SCOT (e.g. after the second last fence). The public are advised to retain all betting tickets until the result of the Stewards' enquiry is announced.

Following the a) and b) announcements, the Steward present during weighing in should ensure no announcements are made over the public address system denoting "weighed in", until the Announcer has been authorised to do so by the Stewards.

c. Here is the result of the Stewards' enquiry

The placings remain unaltered following the enquiry into possible interference after (e.g. the second last fence). The Stewards found that PICT, ridden by X, had interfered with SCOT, ridden by Y, that the interference was accidental but had not improved PICT's placing.

Or

The revised placings are as follows:- First SCOT, second PICT, third BRITON and fourth CELT. The Stewards found that PICT ridden by X, had interfered with SCOT, ridden by Y after (e.g. the second last fence) and that it was caused by careless riding. They fined X £75.

#### **2. Riding Offence Notice (Regulation 141(iii))**

The Stewards held an enquiry under Regulation 141(iii) into possible interference on the run in. They found that the winner PICT, ridden by X, had interfered with SCOT ridden by Y, placed second. They considered that the interference was accidental, but had not improved the placings of PICT. They therefore ordered the placings to remain unaltered

#### **3. Use of the Whip (Appendix O of the Regulations)**

a. The Stewards called before them X, the rider, and Z, the owner (or trainer) of PICT, the winner, and enquired into the rider's use of the whip from the second last fence. Having heard their evidence the Stewards found the rider in breach of Regulations Appendix O of the Regulations headed "Use of the Whip" in that he had used his whip (e.g. with unreasonable force and frequency). They fined the rider £75.

#### **4. Running and Riding on Merits/Improvement in form (Regulation 125-128)**

a. The Stewards held an enquiry under Regulation 127 into the performance of PICT, the 5/4 favourite ridden by X and owned by Z (as compared with its previous run at R on .....)

- b. The Stewards heard evidence from the owner and jockey and noted their explanation that ...

The following are possible alternatives to Paragraph b:

- i) The Stewards heard evidence from the owner and jockey and considered that PICT had not run on its merits as it had intentionally not been put in the race or asked for an effort at any stage. They found the rider in breach of Regulation 127 and fined them £250. They also found the owner in breach of Regulation 125(ii) and fined them £250.
- ii) The Stewards heard evidence from the owner and the jockey, and being unable to conclude the enquiry without reference to other evidence, which was not then available to them, referred the matter to the British Horseracing Authority for further investigation. (When potentially important information is unavailable).

Note: Under Appendix S of the Regulations when a Steward has approached the connections of a horse to ask if they are able to account for its running and following the reply being reported to the Stewards, but a full enquiry not held, the Stewards should still record the details on the official Stewards form and announce any findings.

**APPENDIX (St)B**

**AIDE-MEMOIRE – RUNNING AND RIDING**

**Guidance on conducting enquiry – Section 1.4)**

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**INTRODUCTIONS**

Good afternoon [rider]..... and if present [owner/representative].....

The Stewards are enquiring under Regulations 125 to 128 into the running and riding of

[horse]..... in the [race].....

The Stewards acting on this enquiry are

on my left....., and on my right.....

My name is .....

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**Running and Riding Guidance: When to hold an enquiry; When in breach; When not in breach – Section 2**

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**DECISIONS (Section 2)**

**If the rider is in breach**

[rider]..... Having considered the matter, we find you are in breach of:

Regulation 126	in that you:	Failed to ride out by dropping your hands for.....place;  mistook the race distance;  took the wrong course;  rode an ill-judged race
Regulation 127	in that you:	failed to give your horse the opportunity to obtain the best possible placing, with the intention of concealing its true ability/affecting the result;  used the racecourse as a schooling ground/for conditioning
Regulation 128	in that you:	failed to take all reasonable and permissible measures throughout the race to obtain the best possible finishing position.

As a penalty you will be fined £..... (Guide to common offences – Section 8.1 (L)).

(If rider took wrong course and failed to turn back and ride the course correctly, horse must also be disqualified.)

You do have the right of appeal and if you wish to appeal this decision you should contact the British Horseracing Authority at 75 High Holborn, London.

Can you please pay the money to [fixtue secretary/other name]..... before leaving. (Cheques should be made out to *the* "Point to Point Authority")

Thank you



**If the owner is also in breach**

[owner] ..... Having considered the matter, we find you are in breach of:

Regulation 125	in that you	failed (to give adequate/correct instructions to your rider to ensure that your horse has run on its merits.
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You will be fined £.....(**Note at bottom of R&R Penalty Table – Section 6**)

You do have the right of appeal and if you wish to appeal this decision you should contact the British Horseracing Authority at 75 High Holborn, London.

Can you please pay the money to [fixture secretary/other name]..... before leaving. (Cheques should be made out to *the* “Point to Point Authority”)

Thank you



**If rider/owner not in breach,**

[rider]..... and if present [owner/representative].....

Having considered your riding and comments, we have noted your explanation(s).

Thank you.

## APPENDIX (St)C

### AIDE-MEMOIRE – INTERFERENCE

**\*Prior to holding the enquiry if the placings are liable to alteration an announcement must be made that the Stewards are holding an enquiry under Regulation 141(iii). This holds up the “weighed-in” signal\***

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**Guidance on conducting enquiry – Section 1.3 and 1.4 and Section 3**

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#### INTRODUCTIONS

Good afternoon riders. The Stewards are enquiring into possible interference at/about the.....

The Stewards acting on this enquiry are

on my left....., and on my right.....

My name is .....

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**Interference Guidance: Possible Riding Offence/Determining the Result – Section 3**

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#### DECISIONS

**ACCIDENTAL ( NO riding offence)**

[rider(s)] ..... having considered the incident, we find the interference to have been accidental.

In respect of the placings

- a) As you DID NOT improve your placing as a result of the interference the PLACINGS REMAIN UNALTERED.
- b) As you DID improve your placing as a result of the interference the PLACINGS HAVE BEEN REVISED as follows:

First.....second.....third.....fourth.....

and your horse placed...../disqualified

Thank you

**If there has been a riding offence**

*[rider(s)] ..... having considered the incident, we find that you are in breach of Regulation 123. You are guilty of:*

- a) DANGEROUS RIDING
- b) CARELESS RIDING
- c) IMPROPER RIDING

In that, at/about the.....you caused interference to.....

Placings

- a) As you DID NOT improve your placing as a result of the interference the PLACINGS REMAIN UNALTERED.
- b) As you DID improve your placing as a result of the interference the PLACINGS HAVE BEEN REVISED as follows:

First.....second.....third.....fourth.....

and your horse placed...../disqualified.





**Penalty (Penalty Guidance – Section 6**

\*Ask if this is the rider's first interference offence in Point to Points this Season\*

*As a penalty you will be:*

*Fined £.....*

- Notes: i) Fine should be doubled if guilty of Dangerous riding  
ii) Suspension of rider for remainder of meeting can be applied in addition to a fine if appropriate

You do have the right of appeal and if you wish to appeal this decision you should contact the British Horseracing Authority at 75 High Holborn, London.

Can you please pay the money to [fixture secretary/other name]..... before leaving. (Cheques should be made out to *the "Point to Point Authority"*)

Thank you

## APPENDIX (St)D

### AIDE-MEMOIRE – USE OF THE WHIP

Guidance on conducting enquiry – Section 1.3 and 1.4

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#### INTRODUCTIONS

Good afternoon [rider]..... The Stewards are enquiring into your use of the whip during the.....race.

The Stewards acting on this enquiry are

on my left....., and on my right.....

My name is .....

\*Owner and Vet to be present if necessary\*

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**Whip Guidance: Breaches; Procedures; Penalties – Section 4**

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#### DECISIONS

##### If the rider is in breach

\*Ask if this is the rider's first whip offence in Point to Points this Season\*

[rider].....having considered your use of the whip, we find you in breach of Appendix O in that [where/when/from]..... you used your whip:

WITH EXCESSIVE FREQUENCY

WITH EXCESSIVE FORCE

WHEN OUT OF CONTENTION

WITHOUT GIVING THE HORSE TIME TO RESPOND

IN THE WRONG PLACE etc.

As a penalty, you will be fined £.....

You do have the right of appeal and if you wish to appeal this decision you should contact the British Horseracing Authority at 75 High Holborn, London.

Can you please pay the money to [fixture secretary/other name]..... before leaving. (Cheques should be made out to the "Point to Point Authority")

Thank you

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