

Dear Permitted Trainer,

**APPLICATION FOR A PERMIT TO TRAIN
UNDER RULE (B)12 OF THE RULES OF
RACING**

The Application Process

Every application has to be considered individually upon its merits. In many cases correspondence is involved and in some cases, a personal interview is necessary. Therefore, please complete the application in good time to allow the Team to deal with any queries. **New applications must be submitted at least 2 months before the date on which the permit will be required.**

In completing the online form, you are directed to the guidance notes which should be read in full. These are available online, but a copy has also been enclosed for your assistance.

In the event that your application is successful, your account will be charged for the appropriate fee.

Yours sincerely,

Licensing Team

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Email: licensing@britishhorseracing.com

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

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

A. COMPETENCE AND CAPABILITY

8. Each applicant will have to satisfy the BHA that he/she is competent to and capable of, training horses with due regard to the welfare of the horses in their care and the sport as a whole.
9. In determining a person's competence and capability the BHA will have regard to all relevant matters.
10. First time applicants will normally have to demonstrate at least the following:
 - 10.1. Had several years' experience in licensed training establishments in a responsible and senior position preferably as an Assistant Trainer in a successful racing yard.
 - 10.2. Running a Point to Point yard for at least 2 years and having achieved a minimum of 2 Point to Point/Hunter Chase wins (other than Members' Races) and had runners which have performed with distinction in Hunter Chases.
 - 10.3. The Work Based Diploma (WBD) Level 3 in Racecourse Care and Management.
 - 10.4. Successful completion of Module 1 of the training programme held either at the British Racing School, Newmarket or the Northern Racing College, Doncaster.
 - 10.4.1. If you have already trained 5 winners and 50 runners under the Rules of a recognised Turf BHA (including Hunter Steeple Chases but excluding Point to Point Steeple Chases) you may request exemption from Module 1.
 - 10.5. Enrolment on a one-day training seminar for potential trainers at Weatherbys' offices in Wellingborough, Northamptonshire.
11. A first time applicant will also have to satisfy him/herself and confirm to the BHA that:
 - 11.1. They can recognise the signs of normal health, common diseases and ailments in a racehorse.
 - 11.2. They have a sufficient understanding of:
 - 11.2.1. the basic anatomy of horses, of preventative medicine and veterinary treatment;
 - 11.2.2. the principles of exercise physiology related to racehorses and especially the effects of transport and the immediate pre- and post- race periods;
 - 11.2.3. the principles of feeding racehorses;
 - 11.2.4. racecourse procedures, e.g. declarations, saddling up, etc; and
 - 11.2.5. the regulatory requirements of the BHA and the Rules of Racing, particularly in relation to integrity.
12. In relation to persons who have previously been licensed outside Great Britain, a Certificate of Clearance and licensing record from the relevant Turf Authority (under whose Rules they were last licensed) should also be provided.

B. TRAINING YARD AND FACILITIES

13. If a permit to train is granted, it is on the understanding that it is restricted to training horses at or from the stables to which the application relates; it does not permit the applicant to train at or from any other stables. Application forms for the approval of a Change of Stables are available from the Licensing Team.
14. The yard and training facilities must be of a standard (as to suitability and security) that meets the requirements of an inspection to be carried out before any permit is granted by a Stable Inspecting Officer from the BHA's Integrity Services and Licensing Team and, when considered appropriate, a Veterinary Officer.
15. All applicants will be expected to have the following facilities within hacking distance of their stables:
 - 15.1. Gallops of approximately 6 furlongs;
 - 15.2. At least one plain fence and one open ditch with wings over which 2 horses are able to school alongside one another (15 feet in width). Fences should be well-packed and firm, with painted guard rails. If possible, they should form part of an acceptable gallop;
 - 15.3. At least 2 flights of hurdles with wings over which 2 horses can school alongside (15 feet in width); and
 - 15.4. Access to 'nursery facilities', e.g. poles, logs, tyres, etc., for teaching young horses to jump or for re-educating older horses.
16. If the applicant intends to use 'central' gallops and/or schooling facilities e.g. Epsom, Lambourn, Malton, Middleham and Newmarket, or facilities owned by another person he/she must obtain provisional approval from the appropriate persons before submitting the application. If the application is subsequently granted, it will be a condition of the licence that the Permitted Trainer obtains written confirmation of the availability of these facilities.

C. SECURITY OF TENURE

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

D. HORSES

18. In accordance with the Definitions in the Rules of Racing, the holder of a Permit to Train is only qualified to train horses for Steeple Chases, Hurdle races and National Hunt Flat Races which are the sole property of:
 - 18.1. the holder of the permit,
 - 18.2. their spouse or civil partner;
 - 18.3. their parents or grandparents (including step-parent),
 - 18.4. their sons or daughters (including step-child),
 - 18.5. their grandchildren,
 - 18.6. their brothers or sisters,
 - 18.7. a Person who appears to the BHA to be co-habiting with the holder of the permit by reason of a personal relationship, and
 - 18.8. the executors or administrators for any of the above.

19. All horses must be free of all leases or other joint arrangements apart from those between the Persons for whom the permit holder is entitled to train.
20. Permits will not normally be granted to new applicants wishing to train horses with no proven form in Point-to-Point Steeplechases or under the Rules of Racing

E. HEALTH AND SAFETY

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

E. STAFF

22. Applicants are asked to give an undertaking when applying for a permit that the staff will be employed in accordance with such fair and reasonable terms and conditions of service which, taken as a whole, are no less favourable than the Terms and Conditions of Service agreed and established by the National Joint Council for Stable Staff (Schedule (C)1).

G. PUBLIC LIABILITY INSURANCE

23. All licensed Trainers are required to have Public Liability Insurance providing minimum cover of £5 million. This policy must include cover for any awards of damages given to a member of the public arising out of the death, bodily injury or damage to property suffered by members of the general public at a recognised race meeting. Trainers may also to require Employers' Liability Insurance.

H. GENERAL SUITABILITY ('FIT AND PROPER')

24. In considering any application, the BHA must also be satisfied, taking into account any fact or matter that it considers appropriate, that the applicant is suitable to hold a Permit to Train. Relevant considerations include the applicant's honesty and integrity, and financial soundness.
25. In relation to each section below, the BHA expects full and frank disclosure from the applicant, who is required to disclose matters known to him/her and those which he/she can be expected to discover by making enquiries. Failure to do so will be a relevant factor in the assessment as to an applicant's, competence, honesty and integrity.
26. A person whose conduct, behaviour or character is not in accordance with that which, in the opinion of the BHA, should be expected of a permitted person, may not be considered suitable and therefore may be refused a permit.
27. In some cases a single factor may lead to the conclusion that someone is not suitable, whereas in another case the determination of whether someone is not suitable may depend upon the cumulative assessment of a number of matters.
28. It is not possible to produce a definitive list of all matters that would be relevant to a particular application. This document should be considered a guide as to the sorts of considerations that the BHA will have in mind when making such an assessment.

Honesty and Integrity

29. The criteria to which the BHA will have regard in assessing honesty and integrity include the following:
- 29.1. Whether the applicant has been convicted of any criminal offence in Great Britain, or a foreign jurisdiction, excluding offences which are spent under the Rehabilitation of Offenders Act 1974 and in the case of foreign offences, such as may be appropriate. Particular consideration will be given to offences of dishonesty, fraud and those relating to sexual conduct, violence, animal welfare and health and safety.
 - 29.2. Whether the applicant is the subject of any proceedings of a criminal nature, has been charged in connection with any alleged criminal offence or is aware of circumstances which may lead to his/her being so charged.
 - 29.3. Whether the applicant has been the subject of any adverse finding by a judge in any civil proceedings, or has settled civil proceedings brought against him/her relating to any matter which could reasonably be said to materially affect his/her suitability to hold a permit.
 - 29.4. The applicant's record of compliance with the regulatory requirements of the BHA or its predecessors, of any other Turf Authority or of a regulator of any other sport in which he/she has participated or has been otherwise involved.
 - 29.5. Whether the applicant has been candid, open and truthful in all his/her dealings:
 - 29.5.1. with the BHA in relation to the present or relevant past licence applications; and
 - 29.5.2. with any other Turf Authority or other sports regulator.
 - 29.6. Whether or not the applicant has been dismissed from any previous employment or position of trust or has been asked to resign or resigned on grounds connected with his/her honesty or integrity.
 - 29.7. Whether an applicant has been convicted of, or dismissed or suspended from employment for drug or alcohol abuses or other abusive acts or has other lifestyle or social issues, which are likely either to:
 - 29.7.1. Impair significantly his/her ability to safeguard the welfare of the horses in training or meet the regulatory requirements of the BHA; or
 - 29.7.2. Render the applicant a threat to the health, welfare or safety of others involved in horseracing, or to the integrity of the sport.
 - 29.8. Whether the applicant has engaged in conduct or there are circumstances which may render the applicant susceptible to pressure from persons seeking to corrupt horseracing and whether the applicant is likely to or may engage in such conduct.
 - 29.9. Whether the applicant has observed the Integrity Provisions contained within these Guidance Notes
30. An applicant's fitness and propriety includes assessment of the fitness and propriety of those with whom he/she is or may be associated or connected with in their personal or business dealings. For example, if the applicant has been a director or shareholder of a company that

has committed a criminal offence, that matter will be taken into account and its ultimate relevance to his/her suitability will be assessed in the light of the applicant's responsibility (if any) in relation to that offence.

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

Administrative Competence And Capability

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

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

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

32.1.2. in connection with animal welfare;

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

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

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

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

Financial Soundness

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

35. Relevant factors include:

35.1. Whether the applicant has been the subject of any judgement debt or award in Great Britain or elsewhere, which remains unpaid or was not satisfied within a reasonable period.

35.2. Whether the applicant has ever, in Great Britain or elsewhere, made arrangements with his creditors, filed for bankruptcy, had a bankruptcy petition served on him, been adjudged bankrupt, or been the subject of any other bankruptcy process (including any restrictions order or undertaking or sequestration of assets).

Integrity Provisions

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

36.1. Avoid the company of Persons whose conduct, character or reputation indicate that they may pose a threat to the integrity of horseracing.

36.2. Make sure you have read and understood the definition of Inside Information in Rules (J)16-18.

36.3. Refrain from regularly passing Inside Information to anyone other than the connections of the horse, even where there is no reward except in cases specifically allowed for in the Rules.

36.4. Ensure that relationships with Betting Organisations or any Person representing a Betting Organisation do not confer special privileges or concessions which may invite adverse inferences to be drawn.

36.5. Report to the BHA any suspicious or unusual financial transactions (for example, cash payments in excess of a total of £10,000 for a transaction connected with the business of training racehorses).

36.6. Ensure that the usage of pass cards and any metal badges within a licensed racecourse complies with the user conditions laid down by the Racecourse Association.

I. SPECIFIED REQUIREMENTS

Absolute Requirements

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

Requirement	Guidance Notes Reference Point
To supply such documentation detailed in the Guidance Notes & Application Form (first time applicants only)	
Obtainment of the Level 3 Diploma in Work Based Racehorse Care and Management (WBD) via pathway C, D or H (first time applicants only)	10.3
Completed Module 1 of the Trainers Modules (unless meeting the requirement for exemption as detailed in the 'Guidance Notes') (first time applicants only)	10.4
To submit a certificate of clearance where the applicant has previously been licensed outside Great Britain from the relevant Racing Authority	12
Premises from which to train	13
Access to those facilities detailed in the Guidance Notes for Permits to Train	14 & 15
Security of Tenure for the proposed training premises	17

A minimum of 1 horse to train should the application be granted, which meets the requirements set out in the Definitions of the Rules of Racing	18
Confirmation that any staff are employed in accordance with Rule (B)28 of the Rules of Racing	22
Public Liability Insurance which meets those requirements detailed in the Guidance Notes.	23

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

Procedural Guidelines for applications for Licences, Permits and Registrations

39. For the full procedural guidelines relating to applications to the BHA for Licences, Permits and Registrations and procedural guidelines for hearings of the Licensing Committee, where it is considered appropriate to convene a hearing pursuant to the Rules of Racing please refer to Part 6 of the Judicial Panels Code:

<http://rules.britishhorseracing.com/#!/book/33/chapter/s2598-judicial-panels-code/content?section=s2630-part-six-licensing-committee>